

*Personnel*

71

OLL 83-1979/3  
22 November 1983

MEMORANDUM FOR: Deputy Director of Personnel

FROM:

Liaison Division  
Office of Legislative Liaison

SUBJECT: Congressional Hearing on the Senior Executive Service (SES)

REFERENCE: OLL 83-1979/2, dated 7 November 1983, Same Subject

1. Attached for your information and use is the full statement of the Comptroller General, together with 28 appendices of statistical data that resulted from the study that was commissioned at the request of the House Committee on Post Office and Civil Service. The referenced memorandum provided you with Mr. Bowsher's summary hearing statement only.

2. Just a quick perusal of the statistical information attached brings some interesting questions to mind. For example, Appendix IV, entitled "SES Members in Each Pay Rate" indicates that nearly 67% of the SES population occupy SES-4 through SES-6 positions, while only 17% of the total SES population (of nearly 6,900 in early 1983) occupy SES-1 and SES-2 positions. I haven't seen our SIS data recently but, as I recall, this SES distribution is significantly different from our SIS distribution. Is there a good reason for this? None comes to my mind immediately.

3. I suspect that a thorough review of the attached may yield some interesting conclusions which, when compared to our SIS experience, may result in a series of questions about our implementation of a senior service.

4. Please advise if I can be of help (further or otherwise).

Attachment:  
As stated

STAT

STAT

Distribution:

Original - Addressee w/att.

1 - D/OLL w/o att.

1 - DD/OLL w/o att.

1 - DD/Pers/SP w/att.

1 - DD/Pers/PA&E w/att.

✓ 1 - LEG/OLL w/att.

1 - OLL Record w/att.

1 - OLL Chrono w/o att.

1 - TBC Subject w/att.

1 - TBC Chrono w/o att

LD:OLL:  (23 Nov 83)

STAT

STAT

UNITED STATES GENERAL ACCOUNTING OFFICE  
WASHINGTON, D.C. 20548

FOR RELEASE ON DELIVERY  
EXPECTED AT 10:00 a.m.  
November 7, 1983

DETAILED STATEMENT FOR THE RECORD BY CHARLES A. BOWSHER  
COMPTROLLER GENERAL OF THE UNITED STATES

BEFORE THE

SUBCOMMITTEE ON CIVIL SERVICE  
HOUSE POST OFFICE AND CIVIL SERVICE COMMITTEE

ON

AN ASSESSMENT OF THE IMPACT OF  
THE SENIOR EXECUTIVE SERVICE

Madam Chairwoman and Members of the Committee:

I am pleased to be here today to discuss our work in response to your request for an overall assessment of the Senior Executive Service (SES). SES, established by the Civil Service Reform Act, has often been called the cornerstone of civil service reform. The act provided for major changes in the management of the government's executive corps designed to achieve improvements in the efficiency, effectiveness, and responsiveness of government operations.

My testimony provides our general observations on SES and highlights some areas that warrant your attention.

We focused our work on four areas (see app. I) in which the act established major goals for SES:

--Executives should be held accountable for government operations, and decisions related to their compensation, retention, and tenure should be based on their performance.

--Agencies need greater flexibility in using their executive resources.

--Executives should be protected from improper political influence.

--Executives' managerial capabilities should be improved.

Our work indicates progress is being made toward achieving the act's goals in these areas. Further progress depends largely on how well the Office of Personnel Management (OPM) and agencies implement the act. We believe there are some areas where improvements can be made.

#### SES PROFILE

A brief look at how the SES corps has changed since it was established in July 1979 should provide some perspective for our observations. In July 1979, when SES came into being, there were 8,389 slots allocated to agencies, 7,677 SES positions established, and 6,948 positions filled. As of March 31, 1983, there were slight decreases in the number of slots allocated and positions filled--8,211 and 6,873 respectively--while the number of positions established has increased slightly to 7,861.

While these numbers indicate that SES has been rather static since its inception, a closer look reveals considerable change. Overall, almost 3,500 career and noncareer SES members

have left SES and government service since SES was established in July 1979 and an additional 200 have retreated to GS-15 positions. More than 40 percent of the career executives who converted to SES in July 1979 have left--roughly 2,500 of the 3,500 departures. Although we could not identify where all new SES members came from since the inception of SES, we did find that in fiscal year 1983, about 92 percent of the new career SES members came from within the federal government. (See app. II through VII.)

#### EXECUTIVE ACCOUNTABILITY FOR PROGRAM OPERATIONS

The Civil Service Reform Act emphasized that the accountability of senior executives was to be fixed and that individual performance was to be linked to organizational performance. To provide the basis for evaluating executive success, the act required that agencies establish executive performance appraisal systems. These systems were to establish performance requirements for each senior executive as the basis for annually appraising accomplishments. Appraisals were to be used in making personnel decisions relating to compensation, rewards, removal, transfers, reassignment, and training.

We found that agencies have implemented performance appraisal systems. Agencies have used the appraisal systems primarily to assess individual performance, not to explicitly relate individual to organizational performance. During our review of SES performance appraisal systems, officials at 7 of

the 10 agencies we reviewed told us they do not emphasize linking individual and organizational performance because (1) performance measurement data are lacking and (2) it is difficult to identify individual contributions to the accomplishment of organizational objectives.

Our review of 1,100 randomly selected performance plans showed that a majority of the plans (1) did not address the act's appraisal criteria for focusing attention on organizational performance improvement goals, (2) lacked specific statements of expected performance, and (3) were prepared after the beginning of the appraisal cycle and were not updated or revised when executives' responsibilities changed. In addition, plans were not prepared by a majority of noncareerists. Such limitations in performance planning inhibit the effectiveness of SES appraisal systems as tools for managing and improving individual and organizational performance. Although 71 to 88 percent of senior executives we surveyed generally gave positive responses about their own performance plans and appraisals, over half of the executives believed their agency's SES performance appraisal system (1) had minimal effect on performance, (2) had not improved communication between superiors and subordinates, and (3) was not worth its cost.

#### Bonus and award systems

To encourage excellence in senior executives' performance the act provided that career senior executives with fully successful performance ratings could receive lump-sum bonuses of up

to 20 percent of their basic salary. The act limited the number of bonuses that could be awarded to 50 percent of the total slots allocated to agencies. In addition, a career executive could receive the rank of meritorious executive for sustained accomplishments or could receive the rank of distinguished executive for sustained extraordinary accomplishments. These executive ranks carry one-time payments of \$10,000 and \$20,000, respectively.

Because of concerns that agencies were awarding too many bonuses in the first year, the Congress reduced the number of SES members who could receive awards from 50 to 25 percent. In July 1980, OPM further limited performance awards (unless OPM concurrence was obtained) to 20 percent of eligible career executives. This 20-percent limitation was subsequently included in appropriation bills for fiscal years 1982 and 1983.

Personnel officials (directors of personnel and officials in charge of agency SES programs) in 25 of 26 agencies we visited told us that their agencies used performance appraisals in deciding who receives bonuses and awards. Similarly, 75 percent of the senior executives who responded to our survey on SES performance appraisal systems told us they believed their ratings were used at least to some extent in bonus and award decisions. However, both the personnel officials and senior executives believe that the motivational goal behind bonuses and awards is not being achieved and both groups are concerned with the fairness of bonus and award systems.

Their concerns are related, in part, to the reduction in the number of senior executives that can receive awards. We received many comments from SES members on our performance appraisal questionnaire that bonus system limitations represent a "breach of contract" and are thus a disincentive to excellence. In addition, many SES members believe that decisions on bonuses are not directly related to performance. Personnel officials told us that factors other than performance are considered in making bonus awards.

To be sure, this situation is not new. We reported in September 1981 that upper level executives receive a larger share of awards because agencies use factors which favor upper levels, in addition to performance, to determine who receives awards. These factors include

- job importance, complexity, and difficulty,
- degree of risk and responsibility,
- organizational commitment (willingness to move, serve on organizational task forces, participate as an instructor in training programs), and
- the attitude that no subordinate should receive greater compensation than his/her superior.

Our review of bonuses paid during fiscal years 1981 and 1982 showed that higher level SES members are still more likely to receive a bonus than other SES members. (See app. VIII through XVI.)



The limit on bonuses contained in appropriation bills has not been renewed for fiscal year 1984. OPM, however, is issuing guidance to agencies on the bonus and award program for 1984. This guidance states that while the law allows 50 percent of eligible SES members to receive awards, awards generally should not exceed 30 to 35 percent of an agency's career appointees. In our opinion, while the increase in the number of SES members that can receive awards will alleviate, to some degree, the concerns expressed with bonuses, some of the negative feelings directed at the limitation contained in appropriation bills may continue because the limit is still below that allowed in the act.

#### Dealing with poor performers

The act provided simplified procedures for dealing with poor performers. According to the act, any senior executive receiving an unsatisfactory rating was to be reassigned, transferred, or removed from SES. Any senior executive who received two unsatisfactory ratings in any period of 5 consecutive years was to be removed from SES. Any senior executive who received a less than fully successful rating in 2 of any 3 consecutive years was to be removed from SES. The act also gave agencies the authority to reduce the pay level of a senior executive.

We found that few senior executives have received less than fully successful ratings since the creation of SES--a total of 75 less than fully successful ratings have been given to senior executives. Further, we found few actions, as described in the

act, taken to deal with poor performance. As of June 30, 1983, two individuals had taken early retirement as a result of poor performance ratings and one individual had been terminated for poor performance during the 1-year probationary period established by the act as a "test" period for new senior executives. (See app. XVII.)

We also looked at reductions in pay levels to determine if this type of action was being taken with poor performers. We found 124 SES members had been reduced at least one pay level; however, only two had been rated less than fully successful. OPM officials told us that pay level reductions are sometimes related to interagency transfers or agency budget cuts.

Personnel officials in 25 of 26 agencies told us that SES members who performed poorly may be reassigned to a position which agency officials believe is more suited to the SES members' talents--a remedy called for in the act--even though they have not been given unsuccessful ratings.

The act also provides that an individual who is removed from SES for poor performance with 25 years of service, or 20 years of service if age 50, can take early retirement. Since July 1979, 204 SES members have taken early retirement. Two retired early under the poor performance provision, 135 retired early because of an agency-initiated action--their position was abolished and another acceptable position could not be found or they refused to accept a geographic reassignment. We compared the performance ratings of these 135 executives with performance

ratings of all SES members and found that, while the 135 were generally rated fully successful, they were rated lower as a group than SES members as a whole. Thus, agencies may be using the early retirement option without giving unsuccessful ratings. (See app. XVIII through XIX.)

#### AGENCY FLEXIBILITY IN MANAGING EXECUTIVE RESOURCES

The Civil Service Reform Act made two changes that gave agencies greater flexibility in managing executive resources. The act (1) gave agencies the authority to establish and fill executive positions and (2) established a rank-in-person as opposed to a rank-in-position system which increased agencies' flexibility to reassign executives.

#### Allocation, establishment, and filling of SES positions

Before the act, the Civil Service Commission was responsible for approving (1) the allocation of a slot for a super-grade position, (2) the position description, and (3) the technical and managerial qualifications of the person selected to fill an approved position. When an agency abolished a position, the slot for that position could not be used by the agency but automatically reverted to the Civil Service Commission.

The act established a biennial allocation process. Agencies request slots for 2 fiscal years prior to the beginning of each even numbered fiscal year, and OPM allocates slots within the 10,778 limit set by the Congress. Each agency establishes

and fills positions it believes are appropriate. Agency Executive Review Boards review the technical qualifications of potential senior executives, and OPM Qualification Review Boards review the managerial qualifications of potential senior executives. Between July 13, 1979, and March 31, 1983, there were 2,972 submissions for Qualification Review Board action. All but two were approved. One was disapproved by the Board and a second was closed without action.

While OPM's role has been reduced from that of the Civil Service Commission, OPM retains responsibility for oversight of agency actions to assure that positions are not included in SES that do not justify an SES level. OPM's oversight mechanisms include (1) the review of agency justifications for the number of SES slots, (2) the Qualification Review Board's review, and (3) onsite evaluations conducted by OPM program officials.

During the allocation process, OPM reviews position descriptions for the requested slots, along with staffing and organization charts, to determine which new positions justify an SES level. The determination is largely subjective; the only written criteria that define an SES position are the five broad categories<sup>1</sup> contained in the act. If OPM decides that a

---

<sup>1</sup>The five categories are: (1) directs the work of an organizational unit, (2) is held accountable for the success of one or more specific programs or projects, (3) monitors progress toward organizational goals and periodically conducts and makes adjustments to such goals, (4) supervises the work of employees other than personal assistants, and (5) otherwise exercises important policymaking, policy determining, or other executive functions.

position does not justify an SES level, it can withhold a slot for that position. The final decision on the number of slots allocated rests with the OPM Director. (See app. XX.)

Under the act, agencies have a great deal of flexibility. Once OPM allocates an SES slot to an agency, the agency has the authority to establish and fill the position approved by OPM or to use the slot for a position other than the one used to justify the slot. OPM has historically allocated substantially more slots than agencies have used to establish positions. Similarly, agencies establish substantially more positions than are generally filled.

OPM can review established positions when agencies submit merit staffing selections for Qualification Review Board review. At that point, OPM can stop the submission to the Qualification Review Board and negotiate with the agency to disestablish a position it does not believe belongs in SES. OPM can also withdraw a slot if an agency establishes what OPM deems is an inappropriate SES position. However, unless filling the position requires Qualification Review Board action, this review will not take place. For example, the Qualification Review Board would not review a position being filled by reassignment of a current SES member.

OPM has conducted about 100 onsite evaluations since SES was created. These evaluations are to cover the entire SES program at an installation. Part of these evaluations is a review of selected SES positions to determine if they belong in SES.

OPM staff available to conduct these evaluations is limited. Also, because of the short time for onsite reviews (2 weeks or less), OPM focuses on recently established positions or positions which were questioned during the allocation process. If OPM identifies an inappropriate SES position during the onsite evaluations, it negotiates with the agency to disestablish that position. OPM officials told us that, to avoid disruption, they do not request agencies to disestablish filled positions but instead ask them to take action when the positions become vacant.

OPM has not maintained records on the number of positions questioned during its reviews. As a result, we were not able to evaluate the effectiveness of these processes in identifying and correcting misclassification of positions by agencies.

#### Increased flexibility to reassign

A major problem noted in the debate leading to passage of the Civil Service Reform Act was the lack of flexibility agencies had to match executive talent to agency needs. Prior to the act, individuals could not be reassigned to lesser graded positions without an adverse action, and OPM had to review reassignments to ensure that new positions were of equal rank.

The act provided agency heads with a simplified mechanism for matching senior executive talents with agency needs--the rank-in-person system. The rank-in-person system provides that senior executives can be assigned to virtually any SES position in an agency--regardless of its hierarchical position within the

organization. As a result, SES members can now be reassigned without an adverse action or a review by OPM.

Of all SES provisions, perhaps none has created more controversy than this increased flexibility to reassign. Personnel officials in 16 of the 26 agencies we visited were pleased with the SES reassignment provision. Senior executives, however, feel that they are not protected from arbitrary actions to the same extent they were under the pre-Civil Service Reform Act system. They are also concerned about geographic relocations, which can involve large out-of-pocket expenses. Legislation has recently been introduced (H.R. 3852) which increases the amount paid by the government for geographic relocation. If this bill is enacted, we believe senior executives would be more adequately compensated for the costs of relocations.

Personnel officials in 18 of 26 agencies we visited stated that, under the act, it is easier to reassign members. They believed they could move senior executives more easily into positions where their talents could be best utilized. At the same time, officials in 16 of the 26 agencies agreed that senior executives had less protection from arbitrary actions than before the act. Statistics provided by OPM show that reassignments are increasing. In fiscal year 1980, there were 1,005 SES reassignments government-wide. In fiscal year 1982, the number had increased to 1,226. (See app. XXI.)

One factor which may be contributing to SES members' views toward reassignments is the way in which some agencies are using

the rank-in-person system. Personnel officials in 18 of 26 agencies stated that they were still using--at least partly--the old position management system. For example, Office of Management and Budget officials and Department of the Treasury officials told us that from a hierarchical standpoint, upper-level positions are reserved for ES-5s and ES-6s. This continued use of the old position management system in some agencies may be serving to weaken senior executives' faith in the reassignment process.

SES members have also become increasingly concerned that they have little or no say in the reassignment process. At the Department of the Interior, for example, where a vigorous reassignment program--the Career Enhancement Program--was started last December, 8 of the 22 senior executives reassigned stated that they had no say in their reassignment. At 4 of the other 25 agencies we visited, officials stated that senior executives had no say about their own reassignments or geographic relocations.

SES members are also concerned about the cost of geographic reassignments. Individuals who are reassigned are often faced with expenses that the government does not reimburse, such as financing a new home at a higher interest rate. (See app. XXII.) We did note that the number of geographic reassignments has decreased from 188 in fiscal year 1980 to 172 in fiscal year 1982.



In addition to reassignments within an agency, several individuals expressed the belief prior to passage of the Civil Service Reform Act that the act would encourage transfers between agencies. We found that interagency transfers have decreased. In fiscal year 1980 there were 140 interagency transfers. This decreased to 84 in fiscal year 1981 and rose again somewhat to 119 in fiscal year 1982. Transfers among Department of Defense agencies, which increased in these years, accounted for a large percentage of the total transfers. In fiscal year 1980 there were 20 Defense Department transfers, accounting for 14.3 percent of all transfers, and in fiscal year 1982 there were 31 Defense Department transfers, accounting for 26.1 percent of all transfers. (See app. XXIII.)

#### SES POLITICIZATION SAFEGUARDS

One of the goals spelled out by the Civil Service Reform Act was to provide a Senior Executive Service ". . . free from improper political interference." Congressional concerns about improper political interference were two-fold: first, that too many noncareer executives might change the overall nonpartisan nature of the civil service--particularly where positions requiring impartial federal executives were concerned; and second, that new agency administrators would not take the time to properly assess career senior executives before making decisions on their performance or using the flexibility created by the act to reassign them to new or different duties.

In response to these concerns, the Congress incorporated certain protections in the law. To prevent an unchecked influx of noncareer senior executives, it restricted noncareer appointees to 10 percent of all SES positions and 25 percent of SES positions at individual agencies. In addition, limited term and limited emergency appointees<sup>2</sup> could not exceed 5 percent of all SES positions and certain positions (for which it is necessary to assure impartiality or the perception of impartiality on the part of the government) could only be filled by career senior executives. To ensure that new agency administrators or noncareer supervisors do not take premature steps to reassign or evaluate the performance of career senior executives in their agencies, the Congress established a "get acquainted" period during which a career senior executive may not be

- involuntarily reassigned within 120 days after the appointment of the head of an agency, or
- involuntarily reassigned within 120 days after the appointment of a noncareer supervisor who has the authority to reassign, or
- rated within 120 days after the beginning of a new presidential administration.

---

<sup>2</sup>A limited term appointment is a nonrenewable appointment for a term of 3 years or less to an SES position, the duties of which expire at the end of such term. A limited emergency appointment is a nonrenewable appointment, not to exceed 18 months, to an SES position to meet an unanticipated, urgent need.

We found that the safeguards specified by the Congress have been adhered to by the agencies. We found, for example, that the number of noncareer senior executives, while increasing since the act was passed, has not exceeded 10 percent of SES positions and that the number of limited term and limited emergency appointments has never exceeded 1 percent of the total SES positions--far below the 5 percent limit set as a safeguard by the Congress. We also found that the number of career reserved positions--those which can only be filled by career executives--has increased from 3,377 in July 1979 to 3,798 in March 1983, while the number of general positions--those which can be filled by both career and noncareer executives--has declined from 4,300 to 4,063 during the same period. (See app. XXV through XXVII.)

We also looked at conversions of positions from career reserved to general to determine if extensive changes in the make up of the career reserved group have occurred within the total numbers. We found that only 21 positions have been converted from career reserved to general since July 13, 1979--and 7 of these were filled by noncareer employees as of June 30, 1983. (See app. XXIV.)

We did not look specifically at the 120-day get acquainted period during this review. However, in earlier work we examined problems associated with the change in administrations and found that the actions taken by OPM to monitor SES during presidential transition were adequate. Similarly, the Merit Systems

Protection Board, in a September 1981 report on SES, stated that as of mid-March 1981, there were no indications of any widespread abuses of the 120-day period for career SES members.

Although the number of noncareer SES members has not exceeded the 10-percent limit included in the law, we believe that the method used by OPM to report the relationship between career and noncareer employees may be misleading. OPM reports the number of noncareer senior executives as a percent of total SES slot allocations rather than as a percent of positions established or senior executives onboard. There is a difference. As of March 31, 1983, there were 8,211 SES slots allocated to agencies government-wide, while 7,861 positions were established and 6,873 positions were filled. The number of noncareer senior executives onboard as of March 31, 1983, was 670, which is 8.2 percent of the allocated positions; 8.5 percent of the established positions; or 9.7 percent of the filled positions.

The Congress may want to instruct OPM to report noncareer positions as a percent of senior executives onboard and positions established in addition to its current report which uses the number of slots allocated--particularly since there are 1,338 more slots allocated than senior executives onboard.

#### MANAGERIAL COMPETENCY

The Civil Service Reform Act provided for the establishment of executive development programs to improve the managerial competence of SES candidates and incumbents. The act provided

that these programs could include use of innovative methods such as sabbaticals.

We are currently preparing a report on our review of executive development programs administered by five agencies and of OPM's executive development role. During that review, executive development programs generally received high marks from SES incumbents and SES candidates. Officials at the five agencies told us that they favor systematic development of SES candidates and incumbents and have placed a great deal of emphasis on development programs. SES candidates told us that the development programs have better prepared them to take on SES level responsibilities, while SES incumbents told us that agencies' incumbent development activities have helped them perform their jobs better. Personnel officials we interviewed at 26 agencies also spoke very favorably of SES development programs.

We found that the majority of training provided SES incumbents was managerial as opposed to technical. This was even more the case for candidates than for SES incumbents. At the five agencies we reviewed, about 87 percent of the candidate training was managerial, the remainder covered technical subjects. For incumbents, 60 percent of training covered management subjects while 40 percent was technical.

We did find that senior executives are not using sabbaticals. The act allows an agency head to grant a sabbatical to career appointees for a period not to exceed 11 months to permit the senior executive to engage in study or an uncompensated work

experience which will contribute to the executive's development and effectiveness. The act and OPM guidance provide certain restrictions on sabbaticals.

According to OPM data, only seven individuals have taken or are taking sabbaticals. Personnel officials identified an additional four individuals. Personnel officials told us sabbaticals are seldom used because of (1) the restrictions imposed by the act and by OPM guidance, (2) the reluctance of senior executives to leave their positions for long periods of time, and (3) the amount of paperwork needed to apply for and justify a sabbatical. (See app. XXVIII.)

Personnel officials we interviewed in 20 agencies pointed out that managerial competency may be adversely affected in the future because SES pay and benefits are not adequate to attract and retain top quality managers. They told us that while this has not affected recruitment from among the ranks of GS-15s, it does make recruiting executives from private industry more difficult. A related problem personnel officials pointed out was the difficulty they have recruiting high quality individuals with experience in the technical/scientific fields. Agencies frequently offer SES positions to attract these individuals; however, since SES is comprised of managers, it is sometimes difficult to justify the managerial qualifications of scientists to the Qualification Review Board.

Let me conclude by expressing the view that, in general, progress is being made in achieving the Congress' objectives in

establishing SES. Agencies have greater flexibility in using their executive resources; management processes are being rationalized and improved as executives establish their individual performance goals; it is easier to deal with ineffective managers; and greater emphasis is being placed on executive development. Some SES members, however, are concerned with how agencies are using their enhanced management abilities. Undeniably, there are problems that require attention. It is difficult to say how widespread these problems are.

Finally, I would like to share with you a personal view of SES, based on my private sector experience. In the private sector, I was able to hire and retain quality people by paying adequate salaries. I recognize that the degree of flexibility in paying salaries and bonuses that exists in the private sector is not feasible in the federal government. However, the act provided for positive changes in these areas which have not come to pass. Limitations have been placed on salaries that can be paid to executives. These limitations have adversely affected the government's ability to hire and keep top quality executives. Agency managers have been hamstrung in their ability to reward deserving individuals because of the limitations that have been placed on the number of executives that can receive bonuses. In my view, such salary and bonus limitations may adversely affect the act's goal of developing a highly competent executive corps.

I endorse raising the number of bonuses that can be awarded as OPM suggests in its guidelines which would provide for a 30 to 35 percent limit. I recognize that the current limit of 20 percent was set because of the perception that too many bonuses were being awarded during the first year. I expect that the agencies have learned a lesson and will be more prudent in the future. I would also like to point out that it would not be costly to give more bonuses. For example, based on the average bonus award in fiscal year 1982, increasing the number of bonuses to 40 percent of the career SES members would cost \$14 million. Increasing the number to 50 percent would cost \$18 million. Such increases are small in relation to the federal payroll but could do much to alleviate SES members' negative views on the bonus program and help achieve the act's goals.

Accordingly, I believe it would be prudent to increase the number of positions eligible for bonuses by 5 to 10 percent each year for the next few years until they reach the 50-percent limit envisioned by the act. If OPM declines to take this step, which in my view would increase the probability of maintaining a highly competent executive corps, the Congress may wish to act to do so. I would offer the services of our Office to provide the Congress continuing assurance that the agencies are administering the bonus program fairly and equitably in the future.



- - - -

Attached to this statement are various statistical analyses related to the areas we reviewed.

C o n t e n t s

| <u>Appendix</u> |  | <u>Page</u> |
|-----------------|--|-------------|
| I               | Objectives, scope, and methodology   | 1           |
| II              | Number of SES positions allocated, established, filled, and vacant   | 3           |
| III             | Number of SES members by sex, race, and national origin  | 4           |
| IV              | SES members in each pay rate   | 5           |
| V               | Number of Senior executives leaving government service - July 13, 1979, to June 30, 1983   | 6           |
| VI              | Statutory and presidential exclusions from SES   | 7           |
| VII             | SES members with 5 years continuous civil service experience prior to joining SES  | 8           |
| VIII            | Number and dollar amount of bonuses awarded SES members - fiscal years 1980 through 1982   | 9           |
| IX              | Number of rank award recipients - fiscal years 1980 through 1982   | 11          |
| X               | Number of SES members who received both meritorious and distinguished executive rank awards - July 13, 1979, to September 30, 1983 | 12          |
| XI              | Bonus recipients in various performance ratings - fiscal years 1980 through 1982   | 13          |
| XII             | Executive level of SES members receiving bonuses - fiscal years 1981 and 1982  | 14          |
| XIII            | Distribution of cash incentive awards to SES members - July 13, 1979, to April 27, 1983  | 15          |
| XIV             | Number of SES bonuses by geographic location - fiscal years 1980 through 1982  | 16          |
| XV              | Number of SES members who received bonuses - July 13, 1979, to September 30, 1982  | 17          |
| XVI             | Distribution of multiple cash awards to SES members - fiscal years 1980 through 1982   | 18          |

| <u>Appendix</u> |  | <u>Page</u> |
|-----------------|--|-------------|
| XVII            | Number of less than fully successful performance ratings - fiscal years 1980 through 1982  | 19          |
| XVIII           | Comparison of early retirements to total SES retirements   | 20          |
| XIX             | Comparison of performance ratings for SES members who retired early with those who have received performance ratings                               | 21          |
| XX              | Comparison of selected agencies' SES slots: Fiscal years 1982 and 1983 requests, OPM analysts recommendations, OPM Director's approved allocations | 22          |
| XXI             | SES reassignments - July 13, 1979, to March 31, 1983   | 26          |
| XXII            | Letter on costs of geographic reassignments  | 27          |
| XXIII           | SES interagency transfers - July 13, 1979, to March 31, 1983   | 30          |
| XXIV            | Conversions from noncareer to career appointments - July 13, 1979, to September 30, 1983   | 31          |
| XXV             | Compliance with the statutory limits on non-career, limited term, and limited emergency appointments   | 33          |
| XXVI            | Changes between career reserved and general SES positions - July 13, 1979, to June 30, 1983  | 34          |
| XXVII           | Number of career reserved and general positions  | 35          |
| XXVIII          | List of sabbaticals as of September 30, 1983   | 36          |

## APPENDIX I

## APPENDIX I

OBJECTIVES, SCOPE, AND METHODOLOGY

On October 13, 1982, and March 24, 1983, the Chairwoman, Subcommittee on Civil Service, House Committee on Post Office and Civil Service, raised several questions on the progress of SES during its first 5 years of operation which she wanted GAO to consider in conducting an overall assessment of the program. We reviewed the legislative history of SES to determine what specific changes the Congress sought to achieve by remodeling the government's pay and personnel system for senior executives. On the basis of this review, we focused on four broad questions that encompassed the major concerns expressed during debate on the passage of the Civil Service Reform Act as well as the questions raised by the Chairwoman. These questions were:

- How are agencies fixing the accountability of senior executives for program operations?
- How are agencies using the flexibility provided by the act to manage executive resources more effectively?
- Have agencies complied with the act's safeguards to prevent politicizing SES?
- Has the creation of SES had an impact on managerial competence?

Our review work consisted of five basic elements:

1. Analysis of information from the Office of Personnel Management's Executive Personnel Management Data Information System.
2. Review of other ongoing and prior GAO work on SES.
3. Interviews with personnel directors and officials responsible for managing SES programs at 26 agencies.
4. Review of the Office of Personnel Management's management and oversight of the SES personnel system.
5. Review of the results of other studies of SES.

We obtained and analyzed data available from the Office of Personnel Management's Executive Personnel Management Data Information System which tracks SES positions and people. Information obtained from that system enabled us to study relationships affecting our review questions.

We reviewed the results of other ongoing and prior GAO work related to SES. Two ongoing reviews are a review of SES performance appraisal systems and a review of executive development programs. From the review of SES performance appraisal systems, we analyzed the results of a questionnaire sent to a sample of SES members at 10 agencies and to a randomly selected government-wide sample

## APPENDIX I

## APPENDIX I

of SES members. From the review of executive development systems, we drew on the results of interviews with SES candidates and incumbents in five agencies. Prior GAO work on SES covered several topics including the initial conversion to SES, the effects of the changes in administrations, and SES pay and bonuses.

We interviewed personnel directors and officials responsible for managing the SES program at 26 federal agencies to obtain their views on our questions, on problems and benefits of the SES system, the effectiveness of the Office of Personnel Management's management of the SES personnel system, and changes needed in the SES program. The 26 agencies included the 13 cabinet agencies, 11 of the largest noncabinet agencies, and the Securities and Exchange Commission and the Merit Systems Protection Board. The 13 cabinet and 11 noncabinet agencies were chosen because they employ the largest number of SES members. The Securities and Exchange Commission and the Merit Systems Protection Board were chosen because of their relatively small size and unique structures. The 26 agencies, in total, encompassed 91 percent of the government's established SES positions.

We reviewed the Office of Personnel Management's regulations and guidance to agencies concerning SES, interviewed officials responsible for providing assistance to agencies concerning SES, and reviewed the steps in the process of allocating SES slots to agencies. In addition, we reviewed reports of the Office of Personnel Management's onsite evaluations of SES programs to determine the extent of these evaluations.

We also reviewed the results of studies of SES done by the Merit Systems Protection Board, the Office of Personnel Management, the Federal Executive Institute's Alumni Association, and the House Subcommittee on Civil Service. This work provided background on the progress of SES and alerted us to problems already identified related to our four basic questions.

We performed our work in accordance with generally accepted government audit standards.

NUMBER OF SES POSITIONS ALLOCATED,  
ESTABLISHED, FILLED, AND VACANT

|  | <u>July 13, 1979</u> | <u>Sept. 30, 1980</u> | <u>Sept 30, 1981</u> | <u>Sept. 30, 1982</u> | <u>March 31, 1983</u> |
|--|----------------------|-----------------------|----------------------|-----------------------|-----------------------|
| Total number of SES positions allocated    | 8,389                | 8,592                 | 8,593                | 8,227                 | 8,211                 |
| Total number of SES positions established  | 7,677                | 8,210                 | 8,136                | 7,932                 | 7,861                 |
| Percent of allocated positions established | 91.5                 | 95.6                  | 94.7                 | 96.4                  | 95.7                  |
| Total number of SES positions filled       | 6,948                | 7,038                 | 6,481                | 6,762                 | 6,873                 |
| Career                                     | (6,318)              | (6,325)               | (5,942)              | (6,042)               | (6,117)               |
| Noncareer                                  | (489)                | (582)                 | (467)                | (648)                 | (670)                 |
| Limited term                               | (29)                 | (59)                  | (36)                 | (40)                  | (53)                  |
| Limited emergency                          | (0)                  | (18)                  | (6)                  | (7)                   | (7)                   |
| Filled by non-SES member <sup>a</sup>      | (112)                | (54)                  | (30)                 | (25)                  | (26)                  |
| Total number of SES positions vacant       | 729                  | 1,172                 | 1,655                | 1,170                 | 988                   |
| Percent of established positions vacant    | 9.5                  | 14.3                  | 20.3                 | 14.8                  | 12.6                  |

<sup>a</sup>Generally these are executives who did not convert to SES. It may also include non-SES members temporarily occupying SES positions.

## NUMBER OF SFS MEMBERS BY SEX, RACE, AND NATIONAL ORIGIN

| Sex, race, and<br>national origin         | Sept. 30, 1979 <sup>a</sup> |         | Sept. 30, 1980 <sup>b</sup> |         | Sept. 30, 1981 <sup>c</sup> |         | Sept. 30, 1982 <sup>d</sup> |         | June 30, 1983 <sup>e</sup> |         |
|---|-----------------------------|---------|-----------------------------|---------|-----------------------------|---------|-----------------------------|---------|----------------------------|---------|
|   | Number                      | Percent | Number                      | Percent | Number                      | Percent | Number                      | Percent | Number                     | Percent |
| White males                               | 5,849                       | 90.2    | 6,036                       | 87.4    | 5,686                       | 88.4    | 5,920                       | 88.0    | 6,023                      | 87.6    |
| White females                             | 272                         | 4.2     | 379                         | 5.5     | 313                         | 4.9     | 359                         | 5.4     | 386                        | 5.6     |
| Black males                               | 226                         | 3.5     | 287                         | 4.2     | 250                         | 3.9     | 243                         | 3.6     | 254                        | 3.7     |
| Black females                             | 37                          | 0.6     | 58                          | 0.8     | 51                          | 0.8     | 48                          | 0.7     | 52                         | 0.8     |
| Hispanic males                            | 47                          | 0.7     | 63                          | 0.9     | 52                          | 0.8     | 61                          | 0.9     | 64                         | 0.9     |
| Hispanic females                          | 3                           | 0.0     | 8                           | 0.1     | 7                           | 0.1     | 7                           | 0.1     | 10                         | 0.1     |
| Asian/Pacific<br>Island males             | 30                          | 0.5     | 40                          | 0.6     | 41                          | 0.6     | 52                          | 0.8     | 52                         | 0.8     |
| Asian/Pacific<br>Island females           | 1                           | 0.0     | 1                           | 0.0     | 0                           | 0.0     | 2                           | 0.0     | 3                          | 0.0     |
| American Indian<br>and Alaskan<br>males   | 23                          | 0.3     | 33                          | 0.5     | 35                          | 0.5     | 33                          | 0.5     | 31                         | 0.5     |
| American Indian<br>and Alaskan<br>females | 0                           | 0.0     | 0                           | 0.0     | 0                           | 0.0     | 0                           | 0.0     | 0                          | 0.0     |
| Subtotal fe-<br>males and<br>minorities   | 639                         | 9.8     | 869                         | 12.6    | 749                         | 11.6    | 805                         | 12.0    | 852                        | 12.4    |
| Total <sup>f</sup>                        | 6,488                       | 100.0   | 6,905                       | 100.0   | 6,435                       | 100.0   | 6,725                       | 100.0   | 6,875                      | 100.0   |

<sup>a</sup>Information was not available on 292 individuals.<sup>b</sup>Information was not available on 79 individuals.<sup>c</sup>Information was not available on 16 individuals.<sup>d</sup>Information was not available on 12 individuals.<sup>e</sup>Information was not available on 4 individuals.<sup>f</sup>Data does not include non-SFS members filling SES slots.

APPENDIX III

APPENDIX III

SES MEMBERS IN EACH PAY RATE

| SES<br>pay rate    | July 13, 1979 |         | Sept. 30, 1980 |         | Sept. 30, 1981 |         | Sept. 30, 1982 |         | March 31, 1983 |         |
|--------------------|---------------|---------|----------------|---------|----------------|---------|----------------|---------|----------------|---------|
|                    | Number        | Percent | Number         | Percent | Number         | Percent | Number         | Percent | Number         | Percent |
| 1                  | 364           | 5.3     | 664            | 9.5     | 603            | 9.4     | 639            | 9.5     | 543            | 7.9     |
| 2                  | 324           | 4.7     | 455            | 6.5     | 523            | 8.1     | 612            | 9.1     | 623            | 9.1     |
| 3                  | 501           | 7.3     | 730            | 10.5    | 756            | 11.7    | 1,047          | 15.5    | 1,111          | 16.2    |
| 4                  | 4,716         | 69.0    | 4,174          | 59.8    | 3,614          | 56.0    | 3,450          | 51.2    | 3,477          | 50.8    |
| 5                  | 702           | 10.3    | 721            | 10.3    | 732            | 11.3    | 751            | 11.2    | 820            | 12.0    |
| 6                  | 224           | 3.3     | 240            | 3.4     | 223            | 3.5     | 237            | 3.5     | 273            | 4.0     |
| Data missing       | 5             | 0.1     | 0              | 0.0     | 0              | 0.0     | 1              | 0.0     | 0              | 0.0     |
| Total              | 6,836         | 100.0   | 6,984          | 100.0   | 6,451          | 100.0   | 6,737          | 100.0   | 6,847          | 100.0   |
| Average pay rate   | 3.84          |         | 3.65           |         | 3.62           |         | 3.56           |         | 3.62           |         |
| Pay rate groupings |               |         |                |         |                |         |                |         |                |         |
| 1-3                | 1,189         | 17.3    | 1,849          | 26.5    | 1,882          | 29.2    | 2,298          | 34.1    | 2,277          | 33.2    |
| 4                  | 4,716         | 69.0    | 4,174          | 59.8    | 3,614          | 56.0    | 3,450          | 51.2    | 3,477          | 50.8    |
| 5-6                | 926           | 13.6    | 961            | 13.7    | 955            | 14.8    | 988            | 14.7    | 1,093          | 16.0    |



## APPENDIX V

## APPENDIX V

NUMBER OF SENIOR EXECUTIVES LEAVING GOVERNMENT SERVICEJULY 13, 1979, TO JUNE 30, 1983

| <u>Reason for leaving</u>                              | <u>Number leaving<sup>a</sup></u> |
|--|-----------------------------------|
| Resignation  | 1,663                             |
| Early retirement (performance provision <sup>b</sup> ) | 2                                 |
| Early retirement (other <sup>c</sup> )                 | 202                               |
| Optional retirement <sup>d</sup>                       | 1,358                             |
| Disability retirement                                  | 43                                |
| Termination during probation                           | 1                                 |
| Reduction in force                                     | 8                                 |
| Death  | 63                                |
| Other  | <u>146</u>                        |
| Total  | <u><u>3,486<sup>e</sup></u></u>   |

<sup>a</sup>In addition, about 200 senior executives have retreated to GS-15 positions. According to OPM officials, four of those were initiated by the agency for performance reasons. Two reasons mentioned by OPM officials for voluntary retreating were personal reasons and desire to avoid a geographic transfer.

<sup>b</sup>Individuals with less than fully satisfactory performance are permitted to retire early rather than being removed from SES in some other manner, if they are at least age 50 with 20 years of service, or any age if they have completed a minimum of 25 years of service.

<sup>c</sup>Early retirements are permitted, under certain conditions, provided the individual is at least age 50 with 20 years of service, or any age with 25 years of service. Generally, OPM authorizes an early retirement because of a major reduction in force, reorganization, or transfer of function; a position abolishment without being able to offer the affected employee an acceptable available position; or a refusal to accept a directed geographic transfer.

<sup>d</sup>Employees covered by civil service retirement can elect to retire if they are at least age 55 with 30 years of service, age 60 with 20 years of service, or age 62 with 5 years of service.

<sup>e</sup>About 2,550 of these individuals are career senior executives who converted to SES on July 13, 1979. They represent over 40 percent of the senior executives who converted to SES.

## APPENDIX VI

## APPENDIX VI

STATUTORY AND PRESIDENTIAL EXCLUSIONS FROM SESSTATUTORY EXCLUSIONS

Administrative Office of the United States Courts  
 Drug Enforcement Administration, Department of Justice  
 Federal Bureau of Investigation, Department of Justice  
 Federal Deposit Insurance Corporation  
 Federal Election Commission  
 Federal Reserve Board  
 General Accounting Office  
 Library of Congress  
 Pennsylvania Avenue Development Corporation  
 Presidential Commission on Personnel Interchange  
 President's Commission on White House Fellows  
 United States Postal Service  
 United States Tax Court  
 Government Printing Office  
 Export-Import Bank  
 Overseas Private Investment Corporation  
 Panama Canal Commission  
 Inter-American Foundation  
 Veterans Administration, Department of Medicine and Surgery (160 positions)  
 President's Commission on Study of Ethical Problems in Research  
 Peace Corp  
 National Gallery of Art  
 Pension Benefit Guaranty Corporation  
 United States Holocaust Memorial Council  
 Delaware River Basin Commission  
 Susquehanna River Basin Commission  
 Architectural and Transportation Barriers Compliance Board  
 Central Intelligence Agency  
 Defense Intelligence Agency  
 National Security Agency  
 Federal Election Commission  
 State Department (Foreign Service Officers)

PRESIDENTIAL EXCLUSIONS

Assistant United States Attorneys, Department of Justice  
 National Security Council Staff

SES MEMBERS WITH 5-YEARS<sup>a</sup> CONTINUOUS

CIVIL SERVICE EXPERIENCE PRIOR TO JOINING SES

|  | July 13,<br><u>1979</u> | Sept. 30,<br><u>1980</u> | Sept. 30,<br><u>1981</u> | Sept. 30,<br><u>1982</u> | March 31,<br><u>1983</u> |
|--|-------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Total number of SES members <sup>b</sup>   | 6,836                   | 6,984                    | 6,451                    | 6,737                    | 6,847                    |
| Number of SES members with 5-years continuous service in civil service prior to joining SES  | 5,903                   | 5,873 <sup>c</sup>       | 5,446                    | 5,606                    | 5,673 <sup>d</sup>       |
| Percent of SES members with 5-years continuous service in civil service prior to joining SES | 86.4                    | 84.1                     | 84.4                     | 83.2                     | 82.9                     |

<sup>a</sup>The act required that not more than 30 percent of SES positions may be filled by individuals who did not have 5 years of current continuous service in the civil service immediately preceding their initial appointment to SES, unless the President certifies to the Congress that the limitation would hinder the efficiency of the government.

<sup>b</sup>Does not include SES positions filled by non-SES members.

<sup>c</sup>As of December 31, 1980.

<sup>d</sup>As of December 31, 1982.

NUMBER AND DOLLAR AMOUNT OF BONUSES AWARDED SES MEMBERSFISCAL YEARS 1980 THROUGH 1982

| <u>Agency/department</u>                         | <u>Fiscal year 1980</u>   |  | <u>Fiscal year 1981</u>   |  | <u>Fiscal year 1982</u>   |  |
|--|---------------------------|--|---------------------------|--|---------------------------|--|
|  | <u>Number<br/>awarded</u> | <u>Dollar<br/>amount<br/>(thousands)</u> | <u>Number<br/>awarded</u> | <u>Dollar<br/>amount<br/>(thousands)</u> | <u>Number<br/>awarded</u> | <u>Dollar<br/>amount<br/>(thousands)</u> |
| Agriculture                                      | 0                         | \$ 0.0                                   | 65                        | \$ 325.2                                 | 52                        | \$ 328.2                                 |
| Commerce   | 0                         | 0.0                                      | 79                        | 433.2                                    | 68                        | 371.3                                    |
| Defense  | 157                       | 806.4                                    | 204                       | 1,160.4                                  | 227                       | 1,432.7                                  |
| Office of Secretary<br>of Defense                | (0)                       | (0.0)                                    | (53)                      | (325.9)                                  | (56)                      | (318.2)                                  |
| Air Force  | (37)                      | (168.0)                                  | (30)                      | (156.5)                                  | (33)                      | (185.0)                                  |
| Army   | (49)                      | (260.2)                                  | (51)                      | (309.2)                                  | (60)                      | (431.0)                                  |
| Navy   | (71)                      | (378.2)                                  | (70)                      | (368.8)                                  | (78)                      | (498.5)                                  |
| Education  | 0                         | 0.0                                      | 10                        | 50.0                                     | 8                         | 58.0                                     |
| Energy   | 103                       | 560.5                                    | 105                       | 586.7                                    | 91                        | 540.2                                    |
| Environmental Protection<br>Agency               | 0                         | 0.0                                      | 46                        | 287.8                                    | 36                        | 239.3                                    |
| General Services<br>Administration               | 10                        | 42.5                                     | 0                         | 0.0                                      | 20                        | 127.5                                    |
| Health and Human Services                        | 54                        | 274.5                                    | 66                        | 344.5                                    | 104                       | 678.9                                    |
| Housing and Urban<br>Development                 | 0                         | 0.0                                      | 20                        | 115.5                                    | 14                        | 66.5                                     |
| Interior   | 50                        | 296.5                                    | 47                        | 299.0                                    | 38                        | 283.5                                    |
| Justice  | 47                        | 265.8                                    | 37                        | 228.5                                    | 40                        | 287.9                                    |
| Labor  | 33                        | 200.8                                    | 0                         | 0.0                                      | 28                        | 144.8                                    |
| Merit Systems Protection<br>Board                | 4                         | 35.5                                     | 2                         | 11.5                                     | 2                         | 16.0                                     |
| National Aeronautics and<br>Space Administration | 238                       | 1,338.3                                  | 89                        | 515.9                                    | 83                        | 609.1                                    |
| National Science<br>Foundation                   | 0                         | 0.0                                      | 18                        | 90.0                                     | 18                        | 145.0                                    |
| Nuclear Regulatory<br>Commission                 | 35                        | 209.9                                    | 33                        | 218.0                                    | 37                        | 279.5                                    |

APPENDIX VIII

APPENDIX VIII

| <u>Agency/department</u>           | <u>Fiscal year 1980</u>         |   | <u>Fiscal year 1981</u>         |   | <u>Fiscal year 1982</u>         |   |
|------------------------------------|---------------------------------|---|---------------------------------|---|---------------------------------|---|
|                                    | <u>Number</u><br><u>awarded</u> | <u>Dollar</u><br><u>amount</u><br>(thousands) | <u>Number</u><br><u>awarded</u> | <u>Dollar</u><br><u>amount</u><br>(thousands) | <u>Number</u><br><u>awarded</u> | <u>Dollar</u><br><u>amount</u><br>(thousands) |
| Office of Management and Budget    | 11                              | 49.0  | 0                               | 0.0   | 28                              | 175.0   |
| Office of Personnel Management     | 2                               | 11.5  | 13                              | 67.6  | 12                              | 55.1  |
| Securities and Exchange Commission | 0                               | 0.0   | 11                              | 69.5  | 7                               | 50.0  |
| State                              | 10                              | 73.0  | 8                               | 50.8  | 11                              | 80.3  |
| Transportation                     | 0                               | 0.0   | 56                              | 329.0   | 61                              | 375.3   |
| Treasury                           | 46                              | 243.5   | 85                              | 468.8   | 91                              | 547.2   |
| Veterans Administration            | 41                              | 199.5   | 40                              | 226.0   | 5                               | 39.4  |
| Subtotal                           | 841                             | \$4,607.2                                     | 1,034                           | \$5,877.9                                     | 1,081                           | \$6,930.7                                     |
| Other agencies                     | 67                              | 421.1   | 91                              | 548.7   | 49                              | 308.0   |
| Total                              | 908                             | \$5,028.3                                     | 1,125                           | \$6,426.6                                     | 1,130                           | \$7,238.7                                     |

Note: Data in chart represents bonuses awarded for performance during fiscal years 1980, 1981, and 1982, but not necessarily paid during the fiscal years. For example, if the performance rating was received in September 1981 (fiscal year 1981) and the bonus was paid in October 1981 (fiscal year 1982), the data will appear in fiscal year 1981. Also, according to OPM officials, where zeros are shown in the table no awards were made by the agencies.

APPENDIX VIII

APPENDIX VIII

NUMBER OF RANK AWARD<sup>a</sup> RECIPIENTSFISCAL YEARS 1980 THROUGH 1982<sup>b</sup>

| Agency/<br>department                         | Number of individuals receiving rank awards |               |                  |               |                  |               |
|---|---|---------------|------------------|---------------|------------------|---------------|
|   | Fiscal year 1980                            |               | Fiscal year 1981 |               | Fiscal year 1982 |               |
|   | Meritorious                                 | Distinguished | Meritorious      | Distinguished | Meritorious      | Distinguished |
| Agriculture                                   | 12  | 2             | 1                | 0             | 8                | 2             |
| Commerce                                      | 15  | 1             | 6                | 1             | 9                | 2             |
| Defense                                       | 47  | 10            | 31               | 10            | 44               | 11            |
| Education                                     | 0   | 0             | 3                | 1             | 1                | 1             |
| Energy  | 18  | 3             | 10               | 1             | 10               | 3             |
| Environmental Protection Agency               | 8   | 4             | 2                | 1             | 5                | 1             |
| General Services Administration               | 0   | 0             | 0                | 0             | 0                | 1             |
| Health and Human Services                     | 22  | 3             | 2                | 2             | 16               | 3             |
| Housing and Urban Development                 | 5   | 2             | 0                | 1             | 4                | 0             |
| Interior                                      | 9   | 1             | 0                | 0             | 4                | 2             |
| Justice                                       | 4   | 0             | 2                | 0             | 4                | 2             |
| Labor   | 3   | 1             | 1                | 0             | 2                | 0             |
| Merit Systems Protection Board                | 0   | 0             | 1                | 0             | 0                | 0             |
| National Aeronautics and Space Administration | 21  | 4             | 14               | 4             | 16               | 3             |
| National Science Foundation                   | 0   | 1             | 0                | 0             | 2                | 1             |
| Nuclear Regulatory Commission                 | 1   | 1             | 4                | 0             | 2                | 0             |
| Office of Management and Budget               | 2   | 2             | 0                | 1             | 0                | 0             |
| Office of Personnel Management                | 3   | 1             | 1                | 0             | 0                | 0             |
| Security and Exchange Commission              | 0   | 0             | 1                | 0             | 2                | 1             |
| State   | 2   | 1             | 2                | 0             | 4                | 2             |
| Transportation                                | 11  | 4             | 4                | 1             | 11               | 1             |
| Treasury                                      | 13  | 4             | 5                | 1             | 11               | 1             |
| Veterans Administration                       | 6   | 1             | 3                | 0             | 3                | 1             |
| Subtotal                                      | 202   | 46            | 93               | 24            | 158              | 38            |
| Other agencies                                | 4   | 3             | 3                | 1             | 3                | 0             |
| Total   | 206   | 49            | 96               | 25            | 161              | 38            |

<sup>a</sup>The act provided for the awarding of the rank of Meritorious Executive for sustained accomplishment and Distinguished Executive for sustained extraordinary accomplishment. The ranks include \$10,000 and \$20,000 cash awards, respectively.

<sup>b</sup>Data is reported by the fiscal year in which the President approved the award.

APPENDIX X

APPENDIX X

NUMBER OF SES MEMBERS WHO RECEIVED BOTH MERITORIOUS  
AND DISTINGUISHED EXECUTIVE RANK AWARDS<sup>a</sup>  
JULY 13, 1979, TO SEPTEMBER 30, 1982

| <u>Agency/department</u>                      | <u>Number awarded<br/>both ranks</u> |
|---|--------------------------------------|
| Commerce                                      | 1                                    |
| Air Force                                     | 5                                    |
| Army  | 1                                    |
| Navy  | 1                                    |
| Health and Human Services                     | 3                                    |
| National Aeronautics and Space Administration | 7                                    |
| State   | 1                                    |
| Treasury                                      | <u>1</u>                             |
| Total   | <u>20</u>                            |

<sup>a</sup>The act provided for the awarding of the rank of Meritorious Executive for sustained accomplishment and Distinguished Executive for sustained extraordinary accomplishment. The ranks include \$10,000 and \$20,000 cash awards, respectively.

BONUS RECIPIENTS IN VARIOUS PERFORMANCE RATINGS

FISCAL YEARS 1980 THROUGH 1982<sup>a</sup>

| <u>Fiscal year</u> | <u>Performance rating</u>                 | <u>Number of SES members</u> |                         |                         |
|--------------------|---|------------------------------|-------------------------|-------------------------|
|                    |   | <u>Rated</u>                 | <u>Received bonuses</u> | <u>Percent of rated</u> |
| 1980               | Less than fully successful <sup>b</sup>   | 25                           | 0                       | 0.0                     |
|                    | Fully successful but not top <sup>c</sup> | 2,101                        | 417                     | 19.9                    |
|                    | Top <sup>d</sup>                          | 1,069                        | 491                     | 45.9                    |
| 1981               | Less than fully successful <sup>b</sup>   | 33                           | 0                       | 0.0                     |
|                    | Fully successful but not top <sup>c</sup> | 3,149                        | 368                     | 11.7                    |
|                    | Top <sup>d</sup>                          | 2,164                        | 757                     | 35.0                    |
| 1982               | Less than fully successful <sup>b</sup>   | 17                           | 0                       | 0.0                     |
|                    | Fully successful but not top <sup>c</sup> | 3,235                        | 275                     | 8.5                     |
|                    | Top <sup>d</sup>                          | 2,448                        | 855                     | 34.9                    |

<sup>a</sup>Data in chart represents bonuses awarded for performance during fiscal years 1980, 1981, and 1982, but not necessarily paid during the fiscal years. For example, if the performance rating was received in September 1981 (fiscal year 1981) and the bonus was paid in October 1981 (fiscal year 1982), the data will appear in fiscal year 1981.

<sup>b</sup>Less than fully successful are those individuals receiving an unsatisfactory or minimally satisfactory rating.

<sup>c</sup>Fully successful but not top are those individuals receiving a fully successful rating but not rated in the highest category possible within their organization.

<sup>d</sup>Top are those individuals rated in the highest category possible within their organization.

APPENDIX XI

APPENDIX XI



EXECUTIVE LEVEL OF SES MEMBERS RECEIVING BONUSES

FISCAL YEARS 1981 AND 1982

| Executive<br>level | Fiscal year 1981                           |         |   |         | Fiscal year 1982                           |         |   |         |
|--------------------|--|---------|---|---------|--|---------|---|---------|
|                    | Career SES members<br>as of Sept. 30, 1981 |         | SES members<br>receiving bonuses <sup>a</sup> |         | Career SES members<br>as of Sept. 30, 1982 |         | SES members<br>receiving bonuses <sup>a</sup> |         |
|                    | Number                                     | Percent | Number  | Percent | Number                                     | Percent | Number  | Percent |
| ES-1               | 450  | 7.6     | 36  | 3.0     | 479  | 7.9     | 22  | 2.1     |
| ES-2               | 507  | 8.5     | 71  | 5.9     | 555  | 9.2     | 63  | 5.9     |
| ES-3               | 702  | 11.8    | 81  | 6.8     | 928  | 15.4    | 114   | 10.7    |
| ES-4               | 3,496                                      | 58.8    | 693   | 57.7    | 3,307                                      | 54.7    | 601   | 56.4    |
| ES-5               | 641  | 10.8    | 253   | 21.1    | 635  | 10.5    | 207   | 19.4    |
| ES-6               | 146  | 2.5     | 66  | 5.5     | 138  | 2.3     | 58  | 5.5     |
| Total              | 5,942                                      | 100.0   | 1,200   | 100.0   | 6,042                                      | 100.0   | 1,065   | 100.0   |

<sup>a</sup>Data is reported by the fiscal year in which the bonus was actually paid, and therefore differs from bonus data on appendices VIII, XI, and XIV.

APPENDIX XII

APPENDIX XII

DISTRIBUTION OF CASH INCENTIVE AWARDS<sup>a</sup> TO SES MEMBERSJULY 13, 1979, TO APRIL 27, 1983<sup>b</sup>

| <u>Agency/department</u>                         | <u>July 13, 1979 to<br/>September 30, 1979</u> | <u>Fiscal<br/>year 1980</u> | <u>Fiscal<br/>year 1981</u> | <u>Fiscal<br/>year 1982</u> | <u>October 1, 1982<br/>to April 27, 1983<sup>c</sup></u> |
|--|--|-----------------------------|-----------------------------|-----------------------------|--|
| Agriculture                                      | 0  | 19                          | 2                           | 5                           | 0  |
| Commerce   | 0  | 13                          | 6                           | 3                           | 4  |
| Defense  | 0  | 3                           | 2                           | 2                           | 0  |
| Education  | 0  | 3                           | 19                          | 2                           | 0  |
| Energy   | 0  | 16                          | 7                           | 13                          | 0  |
| Environmental Protection Agency                  | 0  | 4                           | 30                          | 6                           | 1  |
| General Services Administration                  | 0  | 0                           | 2                           | 3                           | 3  |
| Health and Human Services                        | 0  | 12                          | 5                           | 9                           | 7  |
| Housing and Urban Development                    | 0  | 9                           | 0                           | 3                           | 0  |
| Interior   | 0  | 1                           | 1                           | 3                           | 0  |
| Justice  | 0  | 0                           | 3                           | 7                           | 1  |
| Merit Systems Protection Board                   | 0  | 2                           | 0                           | 4                           | 0  |
| National Aeronautics and Space<br>Administration | 0  | 7                           | 7                           | 4                           | 0  |
| National Science Foundation                      | 0  | 1                           | 9                           | 6                           | 1  |
| Nuclear Regulatory Commission                    | 0  | 3                           | 2                           | 0                           | 0  |
| Office of Personnel Management                   | 0  | 0                           | 0                           | 0                           | 1  |
| Securities and Exchange<br>Commission            | 0  | 1                           | 1                           | 0                           | 0  |
| State  | 0  | 0                           | 0                           | 1                           | 0  |
| Transportation                                   | 0  | 9                           | 3                           | 3                           | 3  |
| Treasury   | 16   | 21                          | 7                           | 20                          | 11   |
| Veterans Administration                          | 1  | 19                          | 5                           | 7                           | 3  |
| Subtotal   | 17   | 143                         | 111                         | 101                         | 35   |
| Other agencies                                   | 3  | 20                          | 54                          | 35                          | 11   |
| Total <sup>d</sup>                               | 20   | 163                         | 165                         | 136                         | 46   |

<sup>a</sup>SES members along with all other government employees may receive incentive awards in recognition of specific one-time accomplishments, suggestions, inventions, etc.

<sup>b</sup>Data in chart represents incentive awards paid during the period indicated.

<sup>c</sup>Other cash incentive awards may have been given but not yet reported by the agencies.

<sup>d</sup>Nine SES members received two awards. Forty-seven recipients were noncareer SES members and 8 were limited term appointees.

NUMBER OF BONUSES BY GEOGRAPHIC LOCATION

FISCAL YEARS 1980 THROUGH 1982<sup>a</sup>

| Fiscal<br>year | Washington, D.C. metro area |                       |                  | Field <sup>b</sup>   |                       |                  | Total                |                       |                  |
|----------------|-----------------------------|-----------------------|------------------|----------------------|-----------------------|------------------|----------------------|-----------------------|------------------|
|                | Number of<br>bonuses        | Percent<br>of bonuses | Average<br>bonus | Number of<br>bonuses | Percent<br>of bonuses | Average<br>bonus | Number of<br>bonuses | Percent<br>of bonuses | Average<br>bonus |
| 1980           | 591                         | 65.1                  | \$5,658          | 317                  | 34.9                  | \$5,313          | 908                  | 100.0                 | \$5,538          |
| 1981           | 804                         | 71.5                  | \$5,778          | 321                  | 28.5                  | \$5,548          | 1,125                | 100.0                 | \$5,712          |
| 1982           | 840                         | 74.3                  | \$6,428          | 290                  | 25.7                  | \$6,240          | 1,130                | 100.0                 | \$6,379          |

<sup>a</sup>Data in chart represents bonuses awarded for performance during fiscal years 1980, 1981, and 1982, but not necessarily paid during the fiscal years. For example, if the performance rating was received in September 1981 (fiscal year 1981) and the bonus was paid in October 1981 (fiscal year 1982), the data will appear in fiscal year 1981.

<sup>b</sup>About 26 to 27 percent of all senior executives—career, noncareer, limited term, and limited emergency appointees—are at field locations.

APPENDIX XIV

APPENDIX XIV

## APPENDIX XV

## APPENDIX XV

NUMBER OF SES MEMBERS WHO RECEIVED BONUSESJULY 13, 1979, TO SEPTEMBER 30, 1982<sup>a</sup>

| <u>Agency/department</u>                         | <u>Senior executives receiving</u> |                        |                          |
|--|------------------------------------|------------------------|--------------------------|
|  | <u>One<br/>bonus</u>               | <u>Two<br/>bonuses</u> | <u>Three<br/>bonuses</u> |
| Agriculture                                      | 85                                 | 16                     | 0                        |
| Commerce   | 110                                | 20                     | 0                        |
| Defense  | 277                                | 106                    | 14                       |
| Education  | 9                                  | 4                      | 0                        |
| Energy   | 150                                | 59                     | 9                        |
| Environmental Protection Agency                  | 57                                 | 13                     | 0                        |
| General Services Administration                  | 28                                 | 1                      | 0                        |
| Health and Human Services                        | 151                                | 21                     | 0                        |
| Housing and Urban Development                    | 26                                 | 5                      | 0                        |
| Interior   | 72                                 | 22                     | 6                        |
| Justice  | 57                                 | 23                     | 7                        |
| Labor  | 50                                 | 5                      | 0                        |
| Merit Systems Protection Board                   | 2                                  | 3                      | 0                        |
| National Aeronautics and Space<br>Administration | 202                                | 84                     | 13                       |
| National Science Foundation                      | 26                                 | 5                      | 0                        |
| Nuclear Regulatory Commission                    | 37                                 | 19                     | 10                       |
| Office of Management and Budget                  | 21                                 | 2                      | 0                        |
| Office of Personnel Management                   | 21                                 | 3                      | 0                        |
| Securities and Exchange<br>Commission            | 18                                 | 0                      | 0                        |
| State  | 21                                 | 4                      | 0                        |
| Transportation                                   | 81                                 | 17                     | 0                        |
| Treasury   | 134                                | 44                     | 0                        |
| Veterans Administration                          | 56                                 | 16                     | 0                        |
| Subtotal   | 1,691                              | 492                    | 59                       |
| Other agencies                                   | 176                                | 15                     | 0                        |
| Total  | 1,867                              | 507                    | 59                       |

<sup>a</sup>Data includes bonuses paid through September 30, 1982, and therefore differs from bonus data on appendices VIII, XI, and XIV.

DISTRIBUTION OF MULTIPLE CASH AWARDS TO SES MEMBERS

FISCAL YEARS 1980 THROUGH 1982

| Agency/department                             | Bonuses<br>Incentive | Meritorious rank |   |     |    |    |   | Distinguished rank |   |    |   | Both rank |   |
|---|----------------------|------------------|---|-----|----|----|---|--------------------|---|----|---|-----------|---|
|   |                      | 0                |   | 1   |    | 2  |   | 0                  | 1 | 2  |   | 0         | 1 |
|   |                      | 1                | 2 | 0   | 1  | 0  | 1 | 2                  | 1 | 0  | 1 | 0         | 0 |
| Agriculture                                   |                      | 0                | 0 | 8   | 1  | 4  | 0 | 0                  | 0 | 3  | 0 | 0         | 0 |
| Commerce                                      |                      | 1                | 0 | 12  | 1  | 2  | 0 | 0                  | 0 | 1  | 0 | 1         | 0 |
| Defense                                       |                      | 0                | 0 | 52  | 0  | 29 | 1 | 0                  | 0 | 13 | 0 | 5         | 1 |
| Education                                     |                      | 0                | 1 | 1   | 1  | 0  | 0 | 0                  | 1 | 0  | 1 | 0         | 0 |
| Energy  |                      | 0                | 1 | 17  | 0  | 13 | 0 | 0                  | 2 | 2  | 1 | 1         | 0 |
| Environmental Protection Agency               |                      | 2                | 0 | 2   | 0  | 0  | 0 | 0                  | 0 | 2  | 0 | 0         | 0 |
| General Services Administration               |                      | 0                | 0 | 0   | 0  | 0  | 0 | 0                  | 0 | 0  | 0 | 1         | 0 |
| Health and Human Services                     |                      | 0                | 0 | 11  | 4  | 3  | 0 | 1                  | 0 | 2  | 0 | 1         | 2 |
| Housing and Urban Development                 |                      | 0                | 0 | 2   | 0  | 2  | 0 | 0                  | 0 | 1  | 0 | 0         | 0 |
| Interior                                      |                      | 0                | 0 | 4   | 0  | 5  | 0 | 0                  | 0 | 1  | 0 | 1         | 0 |
| Justice                                       |                      | 0                | 0 | 3   | 0  | 4  | 1 | 0                  | 0 | 0  | 0 | 2         | 0 |
| Labor   |                      | 0                | 0 | 3   | 0  | 0  | 0 | 0                  | 0 | 1  | 0 | 0         | 0 |
| Merit Systems Protection Board                |                      | 0                | 0 | 0   | 0  | 1  | 0 | 0                  | 0 | 0  | 0 | 0         | 0 |
| National Aeronautics and Space Administration |                      | 1                | 0 | 20  | 2  | 16 | 0 | 0                  | 0 | 1  | 0 | 2         | 2 |
| National Science Foundation                   |                      | 1                | 0 | 0   | 0  | 0  | 0 | 0                  | 0 | 0  | 0 | 1         | 0 |
| Nuclear Regulatory Commission                 |                      | 0                | 0 | 1   | 0  | 4  | 0 | 0                  | 0 | 0  | 0 | 1         | 0 |
| Office of Management and Budget               |                      | 0                | 0 | 1   | 0  | 0  | 0 | 0                  | 0 | 2  | 0 | 0         | 0 |
| Office of Personnel Management                |                      | 0                | 0 | 2   | 0  | 0  | 0 | 0                  | 0 | 0  | 0 | 0         | 0 |
| Securities and Exchange Commission            |                      | 0                | 0 | 2   | 0  | 0  | 0 | 0                  | 0 | 1  | 0 | 0         | 0 |
| State   |                      | 0                | 0 | 4   | 0  | 1  | 0 | 0                  | 0 | 1  | 0 | 0         | 1 |
| Transportation                                |                      | 0                | 0 | 14  | 0  | 2  | 1 | 0                  | 0 | 3  | 0 | 1         | 0 |
| Treasury                                      |                      | 1                | 0 | 11  | 4  | 4  | 1 | 0                  | 2 | 1  | 1 | 0         | 0 |
| Veterans Administration                       |                      | 3                | 1 | 1   | 2  | 0  | 0 | 0                  | 1 | 1  | 0 | 0         | 0 |
| Subtotal                                      |                      | 9                | 3 | 171 | 15 | 90 | 4 | 1                  | 6 | 36 | 3 | 17        | 5 |
| Other agencies                                |                      | 1                | 0 | 3   | 1  | 0  | 0 | 0                  | 1 | 1  | 0 | 0         | 0 |
| Total   |                      | 10               | 3 | 174 | 16 | 90 | 4 | 1                  | 7 | 37 | 3 | 17        | 5 |

Note: The table shows SES members who received rank awards and at least one other type of cash award. For example, at the Department of Agriculture, eight SES members received a meritorious rank and one bonus but no incentive award and one SES member received a meritorious rank, one bonus, and one incentive award.

NUMBER OF LESS THAN FULLY SUCCESSFUL PERFORMANCE RATINGS

FISCAL YEARS 1980 THROUGH 1982

| <u>Agency/department</u>                      | <u>Number receiving less than fully<br/>successful performance ratings</u> |                                   |
|---|--|-----------------------------------|
|   | <u>Total</u>   |                                   |
|   | <u>Unsatisfactory</u>  | <u>Minimally<br/>Satisfactory</u> |
| Commerce                                      | 0  | 4                                 |
| Defense                                       | 1  | 9                                 |
| Energy  | 0  | 7                                 |
| General Services Administration               | 1  | 2                                 |
| Housing and Urban Development                 | 0  | 1                                 |
| Interior                                      | 0  | 1                                 |
| Justice                                       | 0  | 2                                 |
| Labor   | 1  | 4                                 |
| Merit Systems Protection Board                | 0  | 3                                 |
| National Aeronautics and Space Administration | 0  | 2                                 |
| Nuclear Regulatory Commission                 | 0  | 9                                 |
| Office of Management and Budget               | 0  | 1                                 |
| Securities and Exchange Commission            | 0  | 1                                 |
| Small Business Administration                 | 0  | 5                                 |
| Transportation                                | 0  | 3                                 |
| Treasury                                      | 0  | 5                                 |
| Community Services Administration             | 0  | 2                                 |
| Equal Employment Opportunity Commission       | 1  | 4                                 |
| Federal Emergency Management Agency           | 0  | 2                                 |
| Federal Trade Commission                      | 0  | 3                                 |
| National Transportation and Safety Board      | 0  | 1                                 |
| Total   | 4  | 71 <sup>a</sup>                   |

<sup>a</sup>Two of the minimally satisfactory ratings were given to noncareer SES members and two were given to limited term appointees.

APPENDIX XVII

APPENDIX XVII

COMPARISON OF EARLY RETIREMENTS TO TOTAL SES RETIREMENTS

|  | <u>July 13, 1979 to<br/>September 30, 1979</u> | <u>Fiscal<br/>year 1980</u> | <u>Fiscal<br/>year 1981</u> | <u>Fiscal<br/>year 1982</u> | <u>October 1, 1982<br/>to June 30, 1983</u> | <u>Total</u> |
|--|--|-----------------------------|-----------------------------|-----------------------------|---|--------------|
| Total SES<br>retirements                           | 128  | 767                         | 333                         | 259                         | 122   | 1,609        |
| Number of early<br>retirements                     | 25   | 37                          | 56                          | 69                          | 17  | 204          |
| Percent of total<br>retirements that<br>were early | 19.5   | 4.8                         | 16.8                        | 26.6                        | 13.9  | 12.7         |

COMPARISON OF PERFORMANCE RATINGS FOR SES MEMBERS WHO RETIRED

EARLY WITH THOSE WHO HAVE RECEIVED PERFORMANCE RATINGS

| <u>Period</u>                               | <u>Less than fully<br/>successful</u> |                | <u>Fully successful<br/>but not top</u> |                | <u>Top rated</u> |                | <u>Total</u>  |                |
|---|---------------------------------------|----------------|---|----------------|------------------|----------------|---------------|----------------|
|   | <u>Number</u>                         | <u>Percent</u> | <u>Number</u>                           | <u>Percent</u> | <u>Number</u>    | <u>Percent</u> | <u>Number</u> | <u>Percent</u> |
| Early retirees: <sup>a</sup>                |                                       |                |   |                |                  |                |               |                |
| Fiscal year 1980                            | 0                                     | 0.0            | 3                                       | 50.0           | 3                | 50.0           | 6             | 100.0          |
| Fiscal year 1981                            | 4                                     | 7.8            | 33                                      | 64.7           | 14               | 27.5           | 51            | 100.0          |
| Fiscal year 1982                            | 1                                     | 1.6            | 51                                      | 80.9           | 11               | 17.5           | 63            | 100.0          |
| October 1, 1982<br>through<br>June 30, 1983 | <u>1</u>                              | 6.7            | <u>9</u>                                | 60.0           | <u>5</u>         | 33.3           | <u>15</u>     | 100.0          |
| Total                                       | <u>6</u>                              | 4.4            | <u>96</u>                               | 71.1           | <u>33</u>        | 24.5           | <u>135</u>    | 100.0          |
| All SES members receiving<br>ratings:       |                                       |                |   |                |                  |                |               |                |
| Fiscal year 1980                            | 25                                    | 0.8            | 2,090                                   | 65.6           | 1,069            | 33.6           | 3,184         | 100.0          |
| Fiscal year 1981                            | 33                                    | 0.6            | 3,135                                   | 58.8           | 2,163            | 40.6           | 5,331         | 100.0          |
| Fiscal year 1982                            | 17                                    | 0.3            | 3,018                                   | 57.8           | 2,185            | 41.9           | 5,220         | 100.0          |

<sup>a</sup>Sixty-nine of the early retirees did not receive a performance rating in SES prior to their retirement.

APPENDIX XIX

APPENDIX XIX



APPENDIX XX

COMPARISON OF SELECTED AGENCIES' SES SLOTS: FISCAL YEAR 1982 REQUESTS,OPM ANALYSTS' RECOMMENDATION, OPM DIRECTOR'S APPROVED ALLOCATION

| <u>Agency/department</u>                   | <u>Slots authorized as<br/>of June 30, 1981</u> | <u>Agencies' slot<br/>requests</u> | <u>OPM analysts' slot<br/>recommendations<br/>to Director, OPM</u> | <u>Final slot<br/>allocations approved<br/>by Director, OPM</u> |
|--|---|------------------------------------|--|---|
| ACTION                                     | 17  | 20                                 | 14   | 21  |
| Agriculture                                | 395   | 458                                | 388  | 406   |
| Civil Aeronautics Board                    | 30  | 27                                 | 27   | 27  |
| Commerce                                   | 549   | 543                                | 490  | 528   |
| Commission on Civil Rights                 | 9   | 9                                  | 9  | 9   |
| Commodity Futures Trading Commission       | 21  | 21                                 | 18   | 18  |
| Consumer Product Safety Commission         | 15  | 15                                 | 13   | 13  |
| Defense                                    |   |                                    |  |   |
| Office of Secretary of Defense             | 434   | 472                                | 387  | 436   |
| Air Force                                  | 223   | 229                                | 210  | 223   |
| Army                                       | 357   | 395                                | 334  | 356   |
| Navy                                       | 448   | 448                                | 420  | 448   |
| Education                                  | 113   | 98                                 | 88   | 88  |
| Energy                                     | 730   | 639                                | 610  | 630   |
| Environmental Protection Agency            | 293   | 288                                | 258  | 259   |
| Equal Employment Opportunity Commission    | 44  | 44                                 | 44   | 44  |
| Farm Credit Administration                 | 12  | 13                                 | 13   | 13  |
| Federal Communications Commission          | 40  | 45                                 | 37   | 42  |
| Federal Emergency Management Agency        | 61  | 61                                 | 58   | 61  |
| Federal Home Loan Bank Board               | 19  | 20                                 | 19   | 19  |
| Federal Labor Relations Authority          | 22  | 25                                 | 22   | 22  |
| Federal Maritime Commission                | 12  | 12                                 | 11   | 11  |
| Federal Mediation and Conciliation Service | 16  | 16                                 | 16   | 16  |
| Federal Trade Commission                   | 45  | 50                                 | 45   | 42  |
| General Services Administration            | 117   | 126                                | 119  | 130   |

APPENDIX XX

APPENDIX XX

| <u>Agency/department</u>   | <u>Slots authorized as<br/>of June 30, 1981</u> | <u>Agencies' slot<br/>requests</u> | <u>OPM analysts' slot<br/>recommendations<br/>to Director, OPM</u> | <u>Final slot<br/>allocations approved<br/>by Director, OPM</u> |
|--|---|------------------------------------|--|---|
| Health and Human Services  | 705   | 670                                | 539  | 650   |
| Housing and Urban Development  | 139   | 139                                | 136  | 137   |
| Interior   | 298   | 316                                | 282  | 298   |
| International Trade Commission   | 6   | 8                                  | 6  | 7   |
| Interstate Commerce Commission   | 42  | 40                                 | 40   | 40  |
| Justice  | 270   | 270                                | 240  | 270   |
| Labor  | 197   | 197                                | 187  | 197   |
| Merit Systems Protection Board/Office of<br>Special Counsel                  | 23  | 27                                 | 24   | 26  |
| National Aeronautics and Space Administration                                | 520   | 520                                | 490  | 520   |
| National Credit Union Administration   | 17  | 17                                 | 17   | 17  |
| National Endowment for the Arts  | 10  | 10                                 | 8  | 9   |
| National Endowment for the Humanities  | 10  | 12                                 | 9  | 9   |
| National Labor Relations Board   | 65  | 65                                 | 65   | 60  |
| National Science Foundation  | 131   | 123                                | 121  | 125   |
| National Transportation Safety Board   | 12  | 12                                 | 12   | 12  |
| Nuclear Regulatory Commission  | 216   | 225                                | 216  | 220   |
| Office of Management and Budget  | 101   | 102                                | 101  | 101   |
| Office of Personnel Management   | 87  | 87                                 | 85   | 85  |
| Office of the Federal Inspector, Alaska Natural<br>Gas Transportation System | 13  | 14                                 | 11   | 11  |
| Railroad Retirement Board  | 11  | 11                                 | 9  | 11  |
| Securities and Exchange Commission   | 48  | 53                                 | 48   | 50  |
| Small Business Administration  | 53  | 55                                 | 53   | 53  |
| State  | 107   | 128                                | 99   | 107   |
| Transportation   | 421   | 455                                | 438  | 456   |
| Treasury   | 575   | 593                                | 560  | 575   |
| U.S. Arms Control and Disarmament Agency                                     | 24  | 24                                 | 22   | 24  |
| U.S. Information Agency  | 23  | 40                                 | 31   | 31  |
| U.S. International Development Corporation                                   |   |                                    |  |   |
| Agency/Agency for International Development                                  | 63  | 66                                 | 55   | 60  |
| Veterans Administration  | 119   | 160                                | 121  | 160   |

APPENDIX XX

APPENDIX XX

COMPARISON OF SELECTED AGENCIES' SES SLOTS: FISCAL YEAR 1983 REQUESTS,OPM ANALYSTS' RECOMMENDATION, OPM DIRECTOR'S APPROVED ALLOCATION

| <u>Agency/department</u>                   | <u>Slots authorized as<br/>of June 30, 1981</u> | <u>Agencies' slot<br/>requests</u> | <u>OPM analysts' slot<br/>recommendations<br/>to Director, OPM</u> | <u>Final slot<br/>allocations approved<br/>by Director, OPM</u> |
|--|---|------------------------------------|--|---|
| ACTION                                     | 17  | 20                                 | 14   | 21  |
| Agriculture                                | 395   | 459                                | 388  | 405   |
| Civil Aeronautics Board                    | 30  | 26                                 | 26   | 27  |
| Commerce                                   | 549   | 543                                | 480  | 528   |
| Commission on Civil Rights                 | 9   | 9                                  | 9  | 9   |
| Commodity Futures Trading Commission       | 21  | 21                                 | 18   | 18  |
| Consumer Product Safety Commission         | 15  | 15                                 | 13   | 13  |
| Defense                                    |   |                                    |  |   |
| Office of Secretary of Defense             | 434   | 475                                | 387  | 430   |
| Air Force                                  | 223   | 229                                | 200  | 225   |
| Army                                       | 357   | 395                                | 330  | 362   |
| Navy                                       | 448   | 448                                | 400  | 449   |
| Education                                  | 113   | 98                                 | 88   | 88  |
| Energy                                     | 730   | 628                                | 610  | 629   |
| Environmental Protection Agency            | 293   | 288                                | 258  | 258   |
| Equal Employment Opportunity Commission    | 44  | 44                                 | 44   | 44  |
| Farm Credit Administration                 | 12  | 13                                 | 13   | 13  |
| Federal Communications Commission          | 40  | 45                                 | 37   | 42  |
| Federal Emergency Management Agency        | 61  | 61                                 | 58   | 61  |
| Federal Home Loan Bank Board               | 19  | 20                                 | 19   | 19  |
| Federal Labor Relations Authority          | 22  | 25                                 | 22   | 22  |
| Federal Maritime Commission                | 12  | 12                                 | 11   | 11  |
| Federal Mediation and Conciliation Service | 16  | 16                                 | 16   | 16  |
| Federal Trade Commission                   | 45  | 50                                 | 45   | 42  |
| General Services Administration            | 117   | 126                                | 119  | 123   |

APPENDIX XX

APPENDIX XX

| <u>Agency/department</u>   | <u>Slots authorized as<br/>of June 30, 1981</u> | <u>Agencies' slot<br/>requests</u> | <u>OPM analysts' slot<br/>recommendations<br/>to Director, OPM</u> | <u>Final slot<br/>allocations approved<br/>by Director, OPM</u> |
|--|---|------------------------------------|--|---|
| Health and Human Services  | 705   | 670                                | 539  | 650   |
| Housing and Urban Development  | 139   | 139                                | 134  | 137   |
| Interior   | 298   | 316                                | 282  | 298   |
| International Trade Commission   | 6   | 8                                  | 6  | 7   |
| Interstate Commerce Commission   | 42  | 38                                 | 38   | 40  |
| Justice  | 270   | 270                                | 240  | 271   |
| Labor  | 197   | 197                                | 187  | 197   |
| Merit Systems Protection Board/Office of<br>Special Counsel                  | 23  | 27                                 | 24   | 26  |
| National Aeronautics and Space Administration                                | 520   | 520                                | 490  | 520   |
| National Credit Union Administration   | 17  | 17                                 | 17   | 17  |
| National Endowment for the Arts  | 10  | 10                                 | 8  | 9   |
| National Endowment for the Humanities  | 10  | 12                                 | 9  | 9   |
| National Labor Relations Board   | 65  | 65                                 | 65   | 60  |
| National Science Foundation  | 131   | 123                                | 121  | 124   |
| National Transportation Safety Board   | 12  | 12                                 | 12   | 12  |
| Nuclear Regulatory Commission  | 216   | 225                                | 216  | 220   |
| Office of Management and Budget  | 101   | 102                                | 101  | 101   |
| Office of Personnel Management   | 87  | 87                                 | 85   | 85  |
| Office of the Federal Inspector, Alaska Natural<br>Gas Transportation System | 13  | 15                                 | 12   | 11  |
| Railroad Retirement Board  | 11  | 9                                  | 9  | 10  |
| Securities and Exchange Commission   | 48  | 53                                 | 48   | 50  |
| Small Business Administration  | 53  | 55                                 | 53   | 53  |
| State  | 107   | 128                                | 99   | 107   |
| Transportation   | 421   | 456                                | 422  | 439   |
| Treasury   | 575   | 593                                | 560  | 572   |
| U.S. Arms Control and Disarmament Agency                                     | 24  | 24                                 | 20   | 24  |
| U.S. Information Agency  | 23  | 40                                 | 28   | 31  |
| U.S. International Development Corporation                                   |   |                                    |  |   |
| Agency/Agency for International Development                                  | 63  | 66                                 | 55   | 60  |
| Veterans Administration  | 119   | 160                                | 121  | 160   |

APPENDIX XX

SES REASSIGNMENTS - JULY 13, 1979, TO MARCH 31, 1983

| <u>Agency/department</u>                      | <u>Total<br/>number of<br/>reassignments</u> | <u>Number of reassignments by type of reassignments</u> |  |  |                          |                           |
|---|--|---|--|--|--------------------------|---------------------------|
|   |  | <u>Wash., D.C.<br/>SMSA<sup>a</sup><br/>to field</u>    | <u>Field to<br/>Wash., D.C.<br/>SMSA<sup>a</sup></u> | <u>Within<br/>Wash., D.C.<br/>SMSA<sup>a</sup></u> | <u>Within<br/>states</u> | <u>Between<br/>states</u> |
| Agriculture                                   | 183  | 13  | 21   | 138  | 5                        | 6                         |
| Commerce                                      | 226  | 3   | 8  | 203  | 11                       | 1                         |
| Defense                                       | 447  | 16  | 17   | 336  | 63                       | 15                        |
| Office of the Secretary                       | (159)  | (5)   | (4)  | (150)  | (0)                      | (0)                       |
| Air Force                                     | (47)   | (2)   | (1)  | (24)   | (13)                     | (7)                       |
| Army  | (74)   | (4)   | (6)  | (40)   | (21)                     | (3)                       |
| Navy  | (167)  | (5)   | (6)  | (122)  | (29)                     | (5)                       |
| Education                                     | 46   | 0   | 0  | 46   | 0                        | 0                         |
| Energy  | 406  | 14  | 10   | 341  | 36                       | 5                         |
| Environmental Protection Agency               | 148  | 11  | 16   | 101  | 16                       | 4                         |
| General Services Administration               | 86   | 12  | 3  | 64   | 6                        | 1                         |
| Health and Human Services                     | 215  | 9   | 9  | 151  | 38                       | 8                         |
| Housing and Urban Development                 | 56   | 1   | 5  | 40   | 1                        | 9                         |
| Interior                                      | 162  | 20  | 14   | 104  | 6                        | 18                        |
| Justice                                       | 101  | 4   | 2  | 83   | 2                        | 10                        |
| Labor   | 81   | 9   | 9  | 57   | 0                        | 6                         |
| Merit Systems Protection Board                | 4  | 0   | 0  | 3  | 0                        | 1                         |
| National Aeronautics and Space Administration | 267  | 8   | 12   | 137  | 107                      | 3                         |
| National Science Foundation                   | 46   | 0   | 0  | 46   | 0                        | 0                         |
| Nuclear Regulatory Commission                 | 208  | 4   | 1  | 190  | 11                       | 2                         |
| Office of Management and Budget               | 26   | 0   | 0  | 26   | 0                        | 0                         |
| Office of Personnel Management                | 63   | 1   | 4  | 54   | 3                        | 1                         |
| Securities and Exchange Commission            | 17   | 1   | 0  | 12   | 4                        | 0                         |
| State   | 15   | 0   | 0  | 15   | 0                        | 0                         |
| Transportation                                | 225  | 25  | 10   | 148  | 26                       | 16                        |
| Treasury                                      | 288  | 23  | 25   | 178  | 26                       | 36                        |
| Veterans Administration                       | 115  | 5   | 4  | 47   | 12                       | 47                        |
| Subtotal                                      | 3,431  | 179   | 170  | 2,520  | 373                      | 189                       |
| Other agencies                                | 294  | 11  | 16   | 254  | 5                        | 8                         |
| Total   | 3,725 <sup>b</sup>                           | 190   | 186  | 2,774  | 378                      | 197                       |

<sup>a</sup>Standard Metropolitan Statistical Area which basically includes Washington, D.C. and surrounding areas in Maryland and Virginia.

<sup>b</sup>2,939 senior executives were involved in these reassignments.

APPENDIX XXII

APPENDIX XXII



UNITED STATES GENERAL ACCOUNTING OFFICE  
WASHINGTON, D.C. 20548

FEDERAL PERSONNEL AND  
COMPENSATION DIVISION

PC-4667

MAY 13 1983

The Honorable William D. Ford  
Chairman, Committee on Post  
Office and Civil Service  
House of Representatives

The Honorable Patricia Schroeder  
Chairwoman, Subcommittee on  
Civil Service  
Committee on Post Office and  
Civil Service  
House of Representatives

This letter provides information on the cost of geographic reassignments for Senior Executive Service (SES) employees, one of the points you asked us to address in your July 26, 1982, letter. On January 7, 1983, we provided you with information on the number of SES geographic relocations reported by OPM and agreed to furnish data on the cost as soon as we could collect the necessary information from Federal departments and agencies.

Between July 13, 1979--when SES went into effect--and February 1, 1983--when current information became available--536 SES employees from 29 departments and agencies were geographically relocated. <sup>1/</sup> The total cost to the Government of 472 of those moves (88 percent of the total number) for which data was available was \$3.7 million, or about \$8,000 per move.

Additionally, approximately 43 percent of the relocated members for which data was available were not reimbursed the entire amount they claimed as relocation expenses because regulations disallowed various items. Individuals that claimed nonreimbursable expenses were disallowed an average of about \$1,200 each.

---

<sup>1/</sup>This figure reflects interstate moves only.

APPENDIX XXII

APPENDIX XXII


PC-4667

Some senior executives may not have reported all relocation costs because they knew in advance certain items would not be reimbursed. Some of the items not reported, however, such as the expense of financing a new home at a higher interest rate, constituted a very real cost to the relocated members.

The enclosed chart shows available information on reimbursements paid by the 29 Federal departments and agencies to geographically relocated SES members between July 13, 1979, and February 1, 1983. It also shows relocation expenses claimed by SES members but disallowed by departments and agencies.

We stated in our January 7, 1983, letter to you that we are currently examining major aspects of the SES program in preparation for oversight hearings later this year. The subject of SES reassignments is a part of our overall review, and we will advise you of our findings in this area.

We trust that the cost information provided in this letter and the information on the number of relocated SES members provided in our January 7, 1983, letter is responsive to your request.

  
Clifford I. Gould  
Director

Enclosure

SES GEOGRAPHIC RELOCATION COSTS (note a)  
 (Reimbursed and nonreimbursed claims between  
 July 13, 1979, and February 1, 1983)

| Department/agency                                | Total number of geographic<br>relocations on which<br>cost data was available | Total reimbursed<br>relocation expenses | Average reim-<br>bursement per<br>SES relocation | Number of SES reloca-<br>tion claims which were<br>not fully reimbursed | Total non-<br>reimbursed<br>SES claims | Average non-<br>reimbursed<br>claim |
|--|---|---|--|---|--|-------------------------------------|
| Agriculture                                      | 27  | \$206,014                               | \$7,630  | 9   | \$4,087                                | \$454                               |
| Commerce   | 10  | 60,975                                  | 6,098  | 5   | 1,664                                  | 333                                 |
| Commodity Futures Trading Commission             | 1   | 1,552                                   | 1,552  | 0   | 0                                      | 0                                   |
| Defense  | 31  | 219,279                                 | 7,074  | 17  | 34,732                                 | 2,043                               |
| Energy   | 14  | 132,375                                 | 9,455  | 12  | 8,808                                  | 734                                 |
| Environmental Protection Agency                  | 22  | 129,274                                 | 5,876  | 7   | 4,598                                  | 657                                 |
| Equal Employment Opportunity<br>Commission       | 8   | 7,716                                   | 965  | 2   | 1,718                                  | 859                                 |
| Federal Emergency Management Agency              | 1   | 2,104                                   | 2,104  | 0   | 0                                      | 0                                   |
| Federal Labor Relations Authority                | 1   | 2,398                                   | 2,398  | 1   | 248                                    | 248                                 |
| Federal Mediation and Conciliation<br>Service    | 2   | 25,513                                  | 12,757   | 0   | 0                                      | 0                                   |
| Federal Trade Commission                         | 1   | 921                                     | 921  | 1   | 115                                    | 115                                 |
| General Services Administration                  | 24  | 83,450                                  | 3,477  | 11  | 4,405                                  | 400                                 |
| Health and Human Services                        | 10  | 77,189                                  | 7,719  | 4   | 7,402                                  | 1,851                               |
| Housing and Urban Development                    | 12  | 59,994                                  | 5,000  | 6   | 5,066                                  | 844                                 |
| Interior   | 40  | 377,328                                 | 9,433  | 19  | 15,296                                 | 805                                 |
| Interstate Commerce Commission                   | 1   | 14,791                                  | 14,791   | 0   | 0                                      | 0                                   |
| Justice  | 16  | 126,995                                 | 7,937  | 6   | 2,433                                  | 406                                 |
| Labor  | 16  | 119,075                                 | 7,442  | 16  | 28,384                                 | 1,774                               |
| Merit Systems Protection Board                   | 1   | 4,205                                   | 4,205  | 0   | 0                                      | 0                                   |
| National Aeronautics and Space<br>Administration | 14  | 151,277                                 | 10,806   | 10  | 46,424                                 | 4,642                               |
| National Credit Union Administration             | 6   | 64,787                                  | 10,798   | 0   | 0                                      | 0                                   |
| National Labor Relations Board                   | 5   | 71,531                                  | 14,306   | 0   | 0                                      | 0                                   |
| Nuclear Regulatory Commission                    | 5   | 27,467                                  | 5,493  | 4   | 4,321                                  | 1,080                               |
| Office of Personnel Management                   | 4   | 20,836                                  | 5,209  | 1   | 4,702                                  | 4,702                               |
| Securities and Exchange Commission               | 2   | 6,655                                   | 3,328  | 1   | 818                                    | 818                                 |
| Small Business Administration                    | 5   | 55,953                                  | 11,191   | 5   | 10,197                                 | 2,039                               |
| Transportation                                   | 47  | 372,428                                 | 7,924  | 17  | 18,721                                 | 1,101                               |
| Treasury   | 92  | 949,752                                 | 10,323   | 29  | 26,772                                 | 923                                 |
| Veterans Administration                          | 54  | \$ 362,632                              | \$6,715  | 20  | \$ 7,987                               | \$ 399                              |
|  | 472   | \$3,734,466                             | \$7,912  | 203   | \$238,898                              | \$1,177                             |

a/Total geographic relocation cost data was available on 88 percent of the 536 relocations occurring during this period. Information on the other 12 percent had either not been received/processed by the agencies or was unavailable.



SES INTERAGENCY TRANSFERS - JULY 13, 1979, TO MARCH 31, 1983

| <u>Agency/department</u>                      | <u>Total<br/>number of<br/>transfers</u> | <u>Number of transfers by type of reassignments</u>  |  |  |                          |                           |
|---|--|--|--|--|--------------------------|---------------------------|
|   |  | <u>Wash., D.C.<br/>SMSA<sup>a</sup><br/>to field</u> | <u>Field to<br/>Wash., D.C.<br/>SMSA<sup>a</sup></u> | <u>Within<br/>Wash., D.C.<br/>SMSA<sup>a</sup></u> | <u>Within<br/>states</u> | <u>Between<br/>states</u> |
| Agriculture                                   | 11                                       | 0  | 1  | 9  | 1                        | 0                         |
| Commerce                                      | 37                                       | 1  | 2  | 34   | 0                        | 0                         |
| Defense                                       | 77                                       | 5  | 2  | 66   | 0                        | 4                         |
| Office of the Secretary                       | (25)                                     | (0)  | (0)  | (25)   | (0)                      | (0)                       |
| Air Force                                     | (15)                                     | (2)  | (0)  | (12)   | (0)                      | (1)                       |
| Army  | (18)                                     | (3)  | (0)  | (13)   | (0)                      | (2)                       |
| Navy  | (19)                                     | (0)  | (2)  | (16)   | (0)                      | (1)                       |
| Education                                     | 11                                       | 0  | 1  | 10   | 0                        | 0                         |
| Energy  | 38                                       | 2  | 2  | 33   | 0                        | 1                         |
| Environmental Protection Agency               | 7  | 1  | 0  | 6  | 0                        | 0                         |
| General Services Administration               | 23                                       | 0  | 1  | 15   | 7                        | 0                         |
| Health and Human Services                     | 18                                       | 3  | 0  | 13   | 0                        | 2                         |
| Housing and Urban Development                 | 5  | 0  | 0  | 5  | 0                        | 0                         |
| Interior                                      | 12                                       | 0  | 0  | 12   | 0                        | 0                         |
| Justice                                       | 9  | 0  | 1  | 8  | 0                        | 0                         |
| Labor   | 7  | 0  | 1  | 6  | 0                        | 0                         |
| National Aeronautics and Space Administration | 11                                       | 0  | 0  | 11   | 0                        | 0                         |
| National Science Foundation                   | 4  | 0  | 0  | 4  | 0                        | 0                         |
| Nuclear Regulatory Commission                 | 9  | 0  | 2  | 7  | 0                        | 0                         |
| Office of Management and Budget               | 11                                       | 0  | 0  | 11   | 0                        | 0                         |
| Office of Personnel Management                | 11                                       | 0  | 0  | 11   | 0                        | 0                         |
| Securities and Exchange Commission            | 1  | 1  | 0  | 0  | 0                        | 0                         |
| State   | 7  | 0  | 0  | 7  | 0                        | 0                         |
| Transportation                                | 10                                       | 0  | 0  | 10   | 0                        | 0                         |
| Treasury                                      | 12                                       | 0  | 0  | 12   | 0                        | 0                         |
| Veterans Administration                       | 15                                       | 0  | 0  | 15   | 0                        | 0                         |
| Subtotal                                      | 346                                      | 13   | 13   | 305  | 8                        | 7                         |
| Other agencies                                | 56                                       | 1  | 0  | 55   | 0                        | 0                         |
| Total   | 402 <sup>b</sup>                         | 14   | 13   | 360  | 8                        | 7                         |

<sup>a</sup>Standard Metropolitan Statistical Area which basically includes Washington, D.C. and surrounding areas in Maryland and Virginia.

<sup>b</sup>383 senior executives were involved in these interagency transfers.

APPENDIX XXIII

APPENDIX XXIII

## APPENDIX XXIV

## APPENDIX XXIV

CONVERSIONS FROM NONCAREER TO CAREER APPOINTMENTSJULY 13, 1979, TO SEPTEMBER 30, 1983

| <u>Agency/department</u>                | <u>Dates of conversions</u>  | <u>Appointment when converted to career</u>             |
|---|--|---|
| Action                                  | April 28, 1980<br>October 27, 1981                                     | Foreign Service Reserve<br>Consultant                   |
| Agriculture                             | December 28, 1979<br>August 13, 1980<br>February 22, 1983              | SES noncareer<br>SES noncareer<br>SES noncareer         |
| Defense                                 | October 28, 1980<br>November 19, 1981<br>May 25, 1982<br>June 26, 1983 | Schedule C<br>Schedule B<br>Schedule C<br>SES noncareer |
| Energy                                  | September 3, 1980  | Presidential  |
| Environmental Protection Agency         | March 6, 1980  | SES noncareer   |
| Equal Employment Opportunity Commission | January 3, 1980<br>February 14, 1980                                   | SES noncareer<br>SES noncareer                          |
| Federal Communications Commission       | May 19, 1980<br>May 19, 1980   | SES limited emergency<br>SES limited emergency          |
| Federal Labor Relations Authority       | October 28, 1980   | SES noncareer   |
| General Services Administration         | April 24, 1980   | SES noncareer   |
| Health and Human Services               | August 8, 1979<br>November 16, 1982                                    | Foreign Service Reserve<br>Schedule C                   |
| Housing and Urban Development           | May 17, 1983   | SES noncareer   |
| Interior                                | August 6, 1979<br>November 13, 1979<br>July 19, 1983                   | SES noncareer<br>SES noncareer<br>SES noncareer         |

## APPENDIX XXIV

## APPENDIX XXIV

| <u>Agency/department</u>                      | <u>Dates of conversions</u>  | <u>Appointment when converted to career</u>                            |
|---|--|--|
| International Communication commission        | January 11, 1980<br>February 1, 1980<br>March 9, 1982                    | Schedule C<br>Consultant<br>SES noncareer                              |
| Justice                                       | December 31, 1979<br>July 19, 1983                                       | SES noncareer<br>SES noncareer   |
| Labor   | August 1, 1979<br>November 17, 1981                                      | Schedule C<br>Noncareer GS-17 executive                                |
| National Aeronautics and Space Administration | June 24, 1980<br>July 8, 1980<br>December 28, 1982                       | SES noncareer<br>SES noncareer<br>SES noncareer                        |
| National Labor Relations Board                | October 6, 1981<br>March 16, 1982  | Competitive service<br>SES noncareer                                   |
| National Science Foundation                   | April 22, 1980   | SES noncareer  |
| Navy  | January 5, 1982<br>August 10, 1982                                       | Schedule A<br>SES limited term   |
| Office of Management and Budget               | January 11, 1982   | Noncareer GS-16 executive  |
| Office of Personnel Management                | January 7, 1981  | SES noncareer  |
| Small Business Administration                 | July 13, 1982<br>April 26, 1983  | Schedule C<br>Competitive service                                      |
| State   | August 21, 1980<br>July 19, 1983   | SES noncareer<br>SES noncareer   |
| Transportation                                | August 27, 1979<br>March 13, 1980<br>November 4, 1980<br>August 26, 1981 | Noncareer GS-16 executive<br>SES noncareer<br>Schedule C<br>Consultant |
| Treasury                                      | November 12, 1980<br>July 19, 1983                                       | SES noncareer<br>SES noncareer   |

Total noncareer to career conversions = 50

COMPLIANCE WITH THE STATUTORY LIMITS ON NONCAREER,  
LIMITED TERM, AND LIMITED EMERGENCY APPOINTMENTS

|  | SES appointments |                   |                   |                   |                   |
|--|------------------|-------------------|-------------------|-------------------|-------------------|
|  | July 13,<br>1979 | Sept. 30,<br>1980 | Sept. 30,<br>1981 | Sept. 30,<br>1982 | March 31,<br>1983 |
| Total SES positions allocated  | 8,389            | 8,592             | 8,593             | 8,227             | 8,211             |
| <u>Noncareer positions</u>   |                  |                   |                   |                   |                   |
| Total permitted <sup>a</sup>   | 838              | 859               | 859               | 822               | 821               |
| Number allocated   | 826              | 829               | 822               | 733               | 769               |
| Number filled by noncareer   | 489              | 582               | 467               | 648               | 670               |
| Percent of total allocated<br>SES positions filled by<br>noncareer                             | 5.8              | 6.8               | 5.4               | 7.9               | 8.2               |
| Total SES positions established  | 7,677            | 8,210             | 8,136             | 7,932             | 7,861             |
| Percent filled by noncareer  | 6.4              | 7.1               | 5.7               | 8.2               | 8.5               |
| Total positions filled   | 6,948            | 7,038             | 6,481             | 6,762             | 6,873             |
| Percent filled by noncareer  | 7.0              | 8.3               | 7.2               | 9.6               | 9.7               |
| <u>Limited term and limited<br/>emergency appointments</u>                                     |                  |                   |                   |                   |                   |
| Total number permitted <sup>b</sup>  | 419              | 429               | 429               | 411               | 410               |
| Number allocated   | N/A              | 100               | 106               | 97                | 106               |
| Number filled  | 29               | 77                | 42                | 47                | 60                |
| Percent of total allocated<br>SES positions filled by<br>limited term and limited<br>emergency | 0.3              | 0.9               | 0.5               | 0.6               | 0.7               |

<sup>a</sup>Up to 10 percent of the total allocated positions may be filled by noncareer appointments.

<sup>b</sup>Up to 5 percent of total allocated positions may be filled by limited term and limited emergency appointments.

APPENDIX XXV

APPENDIX XXV

## APPENDIX XXVI

## APPENDIX XXVI

CHANGES BETWEEN CAREER RESERVED<sup>a</sup> AND GENERAL<sup>b</sup> SES POSITIONSJULY 13, 1979, TO JUNE 30, 1983

| <u>Agency/department</u>                        | <u>Career reserved<br/>to general</u> | <u>General to<br/>career reserved</u> |
|---|---------------------------------------|---------------------------------------|
| Commerce  | 0                                     | 3                                     |
| Commodity Futures Trading<br>Commission         | 0                                     | 3                                     |
| Consumer Product Safety<br>Commission           | 0                                     | 2                                     |
| Defense   | 4                                     | 196 <sup>c</sup>                      |
| Education                                       | 2                                     | 10                                    |
| Environmental Protection<br>Agency              | 0                                     | 7                                     |
| Farm Credit Administration                      | 0                                     | 2                                     |
| Federal Mediation and<br>Conciliation Service   | 0                                     | 1                                     |
| General Services<br>Administration              | 4                                     | 0                                     |
| Health and Human Services                       | 0                                     | 5                                     |
| Interior  | 0                                     | 16                                    |
| International<br>Communication Agency           | 0                                     | 5                                     |
| International Development<br>Cooperation Agency | 0                                     | 7                                     |
| Justice   | 5                                     | 1                                     |
| Labor   | 0                                     | 1                                     |
| National Science Foundation                     | 3                                     | 1                                     |
| Office of Personnel<br>Management               | 0                                     | 1                                     |
| Small Business<br>Administration                | 0                                     | 2                                     |
| Transportation                                  | 1                                     | 3                                     |
| Treasury  | <u>2</u>                              | <u>0</u>                              |
| Total   | <u>21</u>                             | <u>266</u>                            |

<sup>a</sup>Career reserved positions are those which can only be filled by career employees to ensure impartiality or the public confidence in government.

<sup>b</sup>General positions are those which can be filled by career, non-career, or limited term and emergency appointees.

<sup>c</sup>The large number of conversions was due to initial misclassifications by the Department of the Navy of 192 positions.

NUMBER OF CAREER RESERVED<sup>a</sup> AND GENERAL<sup>b</sup> POSITIONS

|                    | July 13, 1979 |         | Sept. 30, 1980 |         | Sept 30, 1981 |         | Sept. 30, 1982 |         | March 31, 1983 |         |
|--------------------|---------------|---------|----------------|---------|---------------|---------|----------------|---------|----------------|---------|
|                    | Number        | Percent | Number         | Percent | Number        | Percent | Number         | Percent | Number         | percent |
| <u>Allocated</u>   |               |         |                |         |               |         |                |         |                |         |
| Career reserved    | 3,608         | 43.0    | 3,672          | 42.7    | 3,649         | 42.5    | 3,671          | 44.6    | 3,671          | 44.7    |
| General            | <u>4,781</u>  | 57.0    | <u>4,920</u>   | 57.3    | <u>4,944</u>  | 57.5    | <u>4,556</u>   | 55.4    | <u>4,540</u>   | 55.3    |
| Total              | <u>8,389</u>  | 100.0   | <u>8,592</u>   | 100.0   | <u>8,593</u>  | 100.0   | <u>8,227</u>   | 100.0   | <u>8,211</u>   | 100.0   |
| <u>Established</u> |               |         |                |         |               |         |                |         |                |         |
| Career reserved    | 3,377         | 44.0    | 3,595          | 43.8    | 3,630         | 44.6    | 3,779          | 47.6    | 3,798          | 48.3    |
| General            | <u>4,300</u>  | 56.0    | <u>4,615</u>   | 56.2    | <u>4,506</u>  | 55.4    | <u>4,153</u>   | 52.4    | <u>4,063</u>   | 51.7    |
| Total              | <u>7,677</u>  | 100.0   | <u>8,210</u>   | 100.0   | <u>8,136</u>  | 100.0   | <u>7,932</u>   | 100.0   | <u>7,861</u>   | 100.0   |
| <u>Filled</u>      |               |         |                |         |               |         |                |         |                |         |
| Career reserved    | 3,114         | 44.8    | 3,064          | 43.5    | 2,980         | 46.0    | 3,245          | 48.0    | 3,339          | 48.6    |
| General            | <u>3,834</u>  | 55.2    | <u>3,974</u>   | 56.5    | <u>3,501</u>  | 54.0    | <u>3,517</u>   | 52.0    | <u>3,534</u>   | 51.4    |
| Total              | <u>6,948</u>  | 100.0   | <u>7,038</u>   | 100.0   | <u>6,481</u>  | 100.0   | <u>6,762</u>   | 100.0   | <u>6,873</u>   | 100.0   |
| <u>Vacant</u>      |               |         |                |         |               |         |                |         |                |         |
| Career reserved    | 263           | 36.0    | 531            | 45.3    | 650           | 39.3    | 534            | 45.6    | 459            | 46.5    |
| General            | <u>466</u>    | 64.0    | <u>641</u>     | 54.7    | <u>1,005</u>  | 60.7    | <u>636</u>     | 54.4    | <u>529</u>     | 53.5    |
| Total              | <u>729</u>    | 100.0   | <u>1,172</u>   | 100.0   | <u>1,655</u>  | 100.0   | <u>1,170</u>   | 100.0   | <u>988</u>     | 100.0   |

<sup>a</sup>Career reserved positions are those which can only be filled by career employees to ensure impartiality or the public confidence in government.

<sup>b</sup>General positions are those which can be filled by career, noncareer, or limited term and emergency appointees.

LIST OF SABBATICALS AS OF SEPTEMBER 30, 1983

| <u>Agency/department</u>                            | <u>Dates</u>                          | <u>Position prior to sabbatical</u>                            | <u>Sabbatical course of study or work</u>  | <u>Estimated years<sup>a</sup> until eligible for retirement</u> |
|---|---------------------------------------|--|--|--|
| Air Force   | February 1, 1983-<br>August 16, 1983  | Assistant Deputy Chief<br>of Staff for Logistics<br>Operations | Royal Australian Air Force,<br>study maintenance and<br>logistics                            | 6  |
| Arms Control and<br>Disarmament<br>Agency           | August 1, 1981-<br>July 1, 1982       | Deputy Assistant Director,<br>Multilateral Affairs<br>Bureau   | Visiting scholar, National<br>Security and Soviet Affairs,<br>University of North Carolina   | 9  |
|   | September 1, 1981-<br>August 1, 1982  | Chief, Technology Transfer<br>Group                            | Visiting scholar, Georgetown<br>University, study of Third<br>World domestic arms production | 9  |
| Army  | September 1, 1981-<br>August 1, 1982  | Director, Division of<br>Biochemistry, Walter Reed             | Visiting Professor of Cellular<br>Biology, Salk Institute, UCSD                              | 9  |
| Defense Mapping<br>Agency                           | January 10, 1983-<br>December 9, 1983 | Comptroller  | Doctoral level program in<br>management, USC   | 9  |
| Equal Employment<br>Opportunity<br>Commission       | July 30, 1982-<br>June 30, 1983       | Deputy General Counsel   | Information unavailable  | 13   |
| Interior  | October 1, 1983-<br>July 1, 1984      | Assistant Director for<br>Economics                            | Research on marketing and eco-<br>nomics of water policy-UC Davis                            | 5  |
| National Aeronautics<br>and Space<br>Administration | May 1, 1983-<br>April 1, 1984         | Chief, Biomedical Research<br>Division                         | Cardiovascular research, Stanford<br>University, School of Medicine                          | 6  |
|   | September 1, 1983-<br>August 1, 1984  | Chief Scientist, Geodynamics<br>Branch                         | Center for Seismic Studies-DARPA <sup>b</sup> ,<br>geophysical research                      | 10   |

APPENDIX XXVIII

APPENDIX XXVIII

| <u>Agency/department</u>      | <u>Dates</u>                     | <u>Position prior to sabbatical</u>                         | <u>Sabbatical course of study or work</u>                                 | <u>Estimated years<sup>a</sup> until eligible for retirement</u> |
|-------------------------------|----------------------------------|---|---|--|
| Nuclear Regulatory Commission | August 1, 1983-<br>June 30, 1984 | Deputy Director, Division of Quality Assurance              | Visiting fellow, Battelle Corps., studies of organizational development   | 13   |
| Transportation                | May 1, 1982-<br>April 1, 1983    | Acting Associate Administrator for Research and Development | Postdoctoral research on motor vehicle safety, Oxford University, England | 7  |

<sup>a</sup>Based on age and years of service at beginning of sabbatical.

<sup>b</sup>Defense Advanced Research Projects Agency, Arlington, Virginia.